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## ABSTRACT

Summarizing a literature review and three questionnaire surveys, this study reports on the amount and types of both current and potential use of the International Standard Book Number (ISBN) by United States Libraries. It is divided into five parts: (1) literature survey and analysis, including the library use of ISBN in cataloging, circulation, interlibrary loan, and acquisitions; (2) questionnaire survey of libraries; (3) questionnaire survey of library supervisors of large urban school systems; (4) questionnaire survey of vendors of technical processing services to libraries; and (5) conclusions and recommendations. Each of the survey sections discusses the sample population and questionnaire design and provides an analysis of the questionnaire responses. Data are displayed in 44 tables. (JD)

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STUDY OF CURRENT AND POTENTIAL USES  
OF  
INTERNATIONAL STANDARD BOOK NUMBER  
IN  
UNITED STATES LIBRARIES

by

Helen F. Schneider

Howard Pasternack

Final Report

to

The Committee for the Coordination  
of National Bibliographic Control

March 23, 1977

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Especial thanks is extended to Paul B. Lagueux, Executive Secretary of the Committee for the Coordination of Bibliographic Control, whose cooperation and support facilitated the completion of the work.

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## COMMITTEE FOR THE COORDINATION OF NATIONAL BIBLIOGRAPHIC CONTROL

supported by the National Science Foundation,  
the National Commission on Libraries and Information Science,  
and the Council on Library Resources

### PREFACE

Early in 1976, the Committee for the Coordination of National Bibliographic Control discussed potential uses of the International Standard Book Number (ISBN) as one element of the national bibliographic control process. Following this discussion, a decision was arrived at to commission a study to assess potential uses of the ISBN, based upon evidence of current use and professional opinion concerning future applications. The principal investigator selected was Miss Helen Schmierer of the University of Chicago. The study was completed and a final report submitted to the Committee in April 1977. The Committee, in its quarterly meeting that same month, reviewed the content of the report, considered its conclusions and recommendations, and decided on its disposition.

The Committee was impressed by the thoroughness of the approach and the wealth of historical, bibliographic, and statistical data assembled in support of the conclusions and recommendations. This documentation, brought together for the first time in one place, is valuable as a full record of ISBN evolution. At the same time, the Committee recognizes that many opinions expressed by respondents to questionnaires circulated by the study and reported in the study may not be universally accepted. Similarly, the final conclusions are those of the principal investigator and no attempt has been made to make them a reflection of the views of Committee members. The Committee does not wish to pass judgment on the evaluative aspects of the work; however, since there is so much useful material in the report, particularly for those charged with the responsibility for managing the U.S. implementation of ISBN, the Committee decided to forward a copy of the report to the U.S. ISBN Agency, for due consideration by its Advisory Board. The Committee hopes that the ISBN Advisory Board will find the report a useful instrument for promoting the great potential the ISBN has in its future applications.

The Committee for the Coordination of National Bibliographic Control has been gratified by the considerable interest and responsiveness of the bibliographic community to the production of this study. The Committee is pleased to offer the results of the work to the library, information, and publishing communities via the Educational Resources Information Center (ERIC).

## TABLE OF CONTENTS

Acknowledgements	i
Table of Contents	ii
List of Tables	iv
I. Literature Survey and Analysis	3
Introduction	3
Administration of the International Standard Book Number	12
Library Use of ISBN	22
Cataloging	24
General	24
Use of ISBN As Identifying Number for Catalog Record	25
Linking ISBNs	27
Conclusion	31
Circulation	33
Interlibrary Loan	34
Acquisitions	35
General	35
Developments in Order Communication	37
Conclusion	43
Commentary and Conclusions	44
II. Questionnaire Survey of Libraries	46
Introduction	46
Total Library Population	46
Library Sample Population	48
Questionnaire Design	51
Distribution of Questionnaire	56
Library Questionnaire Returns	57
Coding of Questionnaire Responses	59
Analysis of Questionnaire Responses	63
ISBN Use in Acquisitions	63
General	63
Conclusions	77
ISBN Use in Cataloging	78
General	78
Conclusions	99
Other Uses of ISBN	100

## TABLE OF CONTENTS, cont.

III. Questionnaire Survey of Library Supervisors of Large Urban School Systems	110
Introduction	110
Analysis of Questionnaire Responses	112
Conclusions	113
IV. Questionnaire Survey of Vendors of Technical Processing Services to Libraries	114
Introduction	114
Analysis of Questionnaire Responses	115
Conclusions	119
V. Conclusions and Recommendations	120

## LIST OF TABLES

	Page
1a. Type of Library by ISBN Use When Ordering As Reported by AAP/RTSD Joint Committee	38
1b. Type of Library by Additional Bibliographic Information Considered Important in Preparing an Order As Reported by AAP/RTSD Joint Committee	38
2. Wholesaler Evaluation of Importance of Certain Information For Library Market Service As Reported by AAP/RTSD Joint Committee	39
3. Distribution of Library Types in Bowker Mailing Lists, Including Sample Drawn and Number of Questionnaires Returned	50
4. Distribution of Library Types in Bowker Mailing Lists, Compared to Library Defined Type on Returned Questionnaire	58
5. Library Questionnaire Sample and Returns: ARL Survey Libraries	58
6. Library Questionnaire Sample and Returns: Large Public Survey Libraries	58
7. Types of Libraries Defined for Analysis of Library Questionnaires	62
8. Reasons Libraries Seldom or Never Include ISBN on Order or Processing Forms	64
9. Reasons Libraries Include ISBN if Readily Available or If At All Possible on Order or Processing Forms	65
10. Type of Library by ISBN Use on Order/Processing Forms for Monographic Materials	66
11. OCLC Use by ISBN Use on Order/Processing Forms for Monographic Materials	66
12. Reasons Libraries Believe ISBN Access to Order or Processing Records Would Not Be Useful	69
13. Reasons Libraries Believe ISBN Access to Order or Processing Records Would Be Useful or Would Be Very Useful	70
14. Explanation of Other ISBN Uses in Acquisitions	72
15. Explanation of Difficulties with ISBN Use in Acquisitions	73
16. Suggestions for Improvement of ISBN for Acquisitions Use	74
17. Publishers That Have Requested ISBN Use on Order Forms or in Correspondence	75

	Page
18. Jobbers or Wholesalers That Have Requested ISBN Use on Order Forms or in Correspondence	76
19. ISBN Use on Order/Processing Forms for Monographic Materials by General Cataloging Practice for ISBN Use in Cataloging Monographic Materials	79
20. Type of Library by General Cataloging Practice for ISBN Use in Cataloging of Monographic Materials	79
21. OCLC Use by General Cataloging Practice for ISBN Use in Cataloging Monographic Materials	81
22. Percentage of OCLC Users and Non-Users Who Use ISBN in Cataloging "If Readily Available" or "If At All Possible"	81
23. Reasons Libraries Include ISBN If Readily Available or If At All Possible in Original Cataloging	82
24. Reasons Libraries Seldom or Never Include ISBN in Original Cataloging	84
25. Reasons Libraries Always Keep ISBN from Source Record in Non-Original Cataloging	35
26. Reasons Libraries Sometimes Keep ISBN From Source Record in Non-Original Cataloging	86
27. Reasons Libraries Always Delete ISBN From Source Record in Non-Original Cataloging	87
28. Reasons Libraries Seldom or Never Add ISBN to Source Record in Non-Original Cataloging	88
29. Reasons Libraries Add ISBN to Source Record in Non-Original Cataloging If Readily Available or If At All Possible	89
30. Reasons Libraries Believe ISBN Access to Catalog Copy Would Not Be Useful	91
31. Reasons Libraries Believe ISBN Access to Catalog Copy Would Be Useful or Would Be Very Useful	92
32. Reasons Libraries Believe ISBN Access to Local Cataloging Records Would Be Useful or Would Be Very Useful	94
33. Reasons Libraries Believe ISBN Access to Local Cataloging Records Would Not Be Useful	95
34. Explanation of Other Uses of ISBN in Cataloging	96
35. Explanation of Difficulties with ISBN Use in Cataloging	97
36. Suggestions for Improvement of ISBN for Cataloging Use	98
37. Explanation of Other Technical Processing Uses of ISBN	101



38.	Improvements of ISBN Suggested for Other Technical Processing Uses	102
39.	Public Services Use of ISBN	103
40.	Improvements of ISBN Suggested for Public Service Use	104
41.	Suggested ISBN Uses for Library	105
42.	Suggested National Uses for ISBN	107
43.	Suggested Regional or Network Uses of ISBN	108
44.	Suggested Interlibrary Uses of ISBN	109

## INTRODUCTION

In mid-1976, the Committee for the Coordination of National Bibliographic Control commissioned this study on the uses of International Standard Book Number in libraries in the United States. The purposes of the study were to determine the amount and types of current use of International Standard Book Number (ISBN) and to explore potential uses of ISBN in United States libraries. Two approaches were used to prepare the study-- a literature review and a questionnaire survey.

The literature review began with identification of published materials about ISBN in indexing sources-- Library Literature and Library and Information Science Abstracts. Citations from these sources were supplemented by others identified through library catalogs and reading. A majority of the material identified relates the history of ISBN development, with but few publications discussing current or potential uses of ISBN in libraries.

The questionnaire survey technique was used to ascertain current use of ISBN by United States libraries and librarians' views of potential uses of ISBN. The purposes of the survey were:

- To determine if libraries currently are using ISBN
- To ascertain how and under what circumstances libraries are currently using ISBN
- To learn why libraries currently are using ISBN and why they are not
- To elicit suggestions for potential uses of ISBN.

To these ends, three sample surveys were conducted:

1. A questionnaire survey of libraries in the United States
2. A questionnaire survey of vendors of technical processing systems and products in the United States
3. A questionnaire survey of library supervisors of large urban school systems in the United States.

The reasons for the library survey are obvious--library use of ISBN is the focus of this study. Realizing that factors outside of the library may affect, or effect, library use of ISBN, separate surveys were also conducted of vendors of technical processing systems and products, and of library supervisors of large urban school systems in the United States. In the latter two surveys it was hoped to determine what effect vendor or school system policies may be exerting on ISBN use by United States libraries. For each sample survey a sample population was determined and drawn, and a survey questionnaire constructed.

The results of the study are reported in the remainder of the report:

Chapter I, Literature Review and Analysis, discusses potential uses of ISBN in U. S. libraries and evaluates ISBN use in a number of applications

Chapter II, Survey of ISBN Use By United States Libraries,

Chapter III, Survey of ISBN Use by Large Urban School Systems in the United States,

Chapter IV, Survey of ISBN Use by United States Vendors of Technical Processing Systems and Products,

Chapter V, Summary and Conclusions.

## CHAPTER I

### LITERATURE SURVEY AND ANALYSIS

#### Introduction

The development of the International Standard Book Number (ISBN) began in the late 1960s. The motivation for development of ISBN appears in large part to have been to assist the publishing and related industries,<sup>1</sup> although it was also believed that a standard numbering system for publications would benefit libraries and book users as well.<sup>2</sup> The components of what was to become ISBN were set out by work in Great Britain, with the encouragement of W. M. Smith, Britain's largest book wholesaler, and the Council of the (British) Publisher's Association.<sup>3</sup>

Reports of developments leading to ISBN appeared often in journals of the publishing trade (Publisher's Weekly and Bookseller) and regularly in Library Journal. The developmental work ended with acceptance of

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<sup>1</sup>International ISBN Agency, The ISBN System: User's Manual (Berlin: International ISBN Agency) 1975, p. 3. ISBN 3-88053-002-5

<sup>2</sup>G. A. Harrer and Alex Ladenson, "A Proposal for a National Code Number System for Current Publications," Library Resources and Technical Services, v. 6, no. 1 (Winter 1962): 5.

<sup>3</sup>Judith Lee Krone, "The Standard Book Number (SBN): Its Impact on the Book Trade and the Library" (M.A. Diss., University of Chicago, 1971), pp. 14-33.

S. M. A. Lawani, "Standard Book Numbering: Its Development and Implications for Library Technical Services," UNESCO Bulletin for Libraries, v. 23, no. 5 (Sept./Oct. 1969): 226.

Standard Book Numbering Agency, ISBN: International Standard Book Numbering; Incorporating the Recommendations of the Publisher's Association for Implementing the Standard Book Numbering Scheme (London: Standard Book Numbering Agency, 1972), p. 5.

ISBN as an international standard and publication of International Standard ISO 2108: Documentation--International Standard Book Numbering (ISBN).<sup>1</sup>

The Standard itself is but one page that defines the International Standard Book Number and offers general guidance for its printing.

The Standard includes three sections:

1. Scope and Field of Application

"The purpose of this International Standard is to coordinate and standardize internationally the use of book numbers so that an international standard book number identifies one title, or edition of a title, from one specific publisher, and is unique to that title or edition. To this end, it specifies the construction of an international standard book number and the location of the printed number on the book."

2. Construction of an International Standard Book Number

The ISBN contains ten digits comprised of the following parts:

- a. group identifier (i.e., national, geographical, language, or other convenient group);
- b. publisher identifier;
- c. title identifier;
- d. check digit.

When printed or written the number shall be preceded by the letters: ISBN; and each part shall be separated by space or hyphen, e.g.,

ISBN 0 571 08989 5

ISBN 0-571-08989-5

The check digit is calculated on a Modulus-11 with weights of 10-2, using "X" in lieu of "10" as check digit.

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<sup>1</sup>International Organization for Standardization, Documentation--International Standard Book Numbering (ISBN), 1st ed. (Geneva: International Organization for Standardization, 1972), 2p. International Standard, ISO 2108.

### 3. Printing on Books

ISBN shall be printed on verso of title leaf, or if this is not possible, at the foot of the title leaf. It shall also appear at the foot of the outside back cover if practicable and at the foot of the back of the jacket if the book has one; if neither of these alternatives is possible, then the number shall be presented in some other prominent position on the outside.

The clearest explanation of assignment of ISBN and procedures used for assignment is found in International Standard Book Number (ISBN): Guide, a booklet published by the Buchhändler-Vereinigung in Frankfurt am

✓ Main.<sup>1</sup> The publication is divided into six sections:

1. Prefatory note
2. Concept and Make-up of the ISBN
3. General Principles to be Observed by the Publishers in the Numbering of Books
4. Differentiations and Definitions (Including definition for "edition" which explains:
 

"Each of the following editions must therefore be given an ISBN of its own:

  - flexible cover, lightweight paper edition and hard-cover standard edition;
  - school books in 9-point type and special editions for pupils with impaired vision in 16-point type;
  - editions with pages printed on one side only and on both sides;
  - pocket edition in plastic binding and cloth bound edition in a different format;
  - various types of binding, e.g., cloth, half-leather, leather"<sup>2</sup>
5. Imprinting and Publication of the ISBNs
6. ISBN Administration.

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<sup>1</sup>International Standard Book Number (ISBN): Guide, 1st ed. (Frankfurt am Main: Buchhändler-Vereinigung, 1970), 24p. ISBN 3-7657-0374-6 (translated from German); ISBN 3-7657-0360-6 (original edition).

<sup>2</sup>Ibid, p. 14.

While some of the information in this illuminating booklet refers only to German publishing practices or laws, its contents are generally useful. Of particular interest is the information that it carries about assignment of more than one ISBN to an item, and it explains the following conditions for multiple ISBNs:

## 5.2 Indication of several ISBNs in one book

Indication of several ISBNs is required in the following cases:

- 5.2.1 If a book appears in different editions or styles of binding, the ISBNs for each different edition or style shall be indicated, together with an explanatory note.

Example: ISBN 3-8950-0001-9 Cloth bound ed.  
ISBN 3-8950-0002-7 Pasteboard bound ed.

- 5.2.2. If multi-volume works consisting of a limited number of single volumes (e.g., a 6-volume complete edition) have been given both an overall ISBN for the complete set and an individual ISBN for each single volume, then each such volume shall carry both its own ISBN and the one for the complete set. Both numbers must be followed by an explanatory note.

Example: ISBN 3-601-00021-0 (Complete edition)  
ISBN 3-601-00022-9 (vol. 1)

It is furthermore advisable that each volume should contain a reference, with appropriate explanatory notes, to the ISBNs of the other volumes to the extent that this is already feasible at the time.

Example: ISBN 3-601-00021-0 (Complete edition)  
ISBN 3-601-00022-9 (vol. 1)  
ISBN 3-601-00023-7 (vol. 2)  
ISBN 3-601-00024-5 (vol. 3)  
ISBN 3-601-00025-3 (vol. 4)  
ISBN 3-601-00026-1 (vol. 5)  
ISBN 3-601-00027-X (vol. 6)

The use of an ISBN for the complete edition is not recommended, however, if single volumes frequently appear in changed editions, as otherwise the ISBN for the complete set must be changed each time a single volume receives a new number. In this case one should also refrain from imprinting the complete list of ISBNs for all volumes belonging to the complete edition and instead only indicate the ISBN for the single volume concerned.

Example: ISBN 3-601-00024-5

- 5.2.3. If a book published by one publisher in collaboration with one or several other publishers has been given a different ISBN by each of these publishers it shall carry all of these ISBNs, accompanied by appropriate descriptive wording.

Example: ISBN 3-8800-0104-5 Publisher XY  
ISBN 3-8402-0035-0 Publisher ZZ

- 5.2.4 Books appearing in a revised edition and hence having a new ISBN shall carry a reference, accompanied by appropriate descriptive wording, to the ISBN of the preceding impression. If on this previous occasion the book appeared in several different editions or styles of binding at the same time, then the standard book numbers for all these editions or styles of the previous impression, accompanied by appropriate descriptive wording, shall be indicated.

If a publisher lists on the reverse of the title page of a given publication all previous impressions of that publication, the standard book numbers, if any, of these previous impressions should be indicated as well.

Example: ISBN 3-88411-029-5 2nd revised and enlarged  
edition  
(ISBN 3-89411-007-1 1st edition)

- 5.2.5 If a book which has been transferred to another publisher, thereby receiving a different imprint and a different ISBN, remains otherwise unchanged, then the new publisher shall indicate, besides his own, also the previous publisher's standard book number for the book in question, together with appropriate descriptive wording.

Example: ISBN 3-666-00123-8  
(previously published by Publisher XX under  
ISBN 3-8420-0091-X)



- 5.2.6 In the case of licensed editions (e.g. pocket editions, book club editions, etc.) the standard book number of the licensing publisher's original editions, accompanied by appropriate descriptive wording, shall likewise be indicated.

Example: Publisher XY ISBN 3-8302-0230-X  
 Licensed edition of Publisher ZZ  
 ISBN 3-8411-0034-1

- 5.2.7 In the case of translations the standard book number of the original edition on which the translation was based shall be indicated, together with appropriate descriptive wording.

Example: ISBN 3-611-00112-4  
 Original edition:  
 ISBN 0-571-09898-3 Publisher AB, New York

- 5.2.8 In the case of reprints the standard book number, if any, of the original work from which the reprint was made shall be indicated.

Example: ISBN 3-8400-2151-0  
 ISBN of the original work: 3-650-00152-7

- 5.2.9 In the case of parallel editions, i.e. editions appearing in different linguistic versions of equal validity (e.g., publications of international organizations), the standard book numbers of all parallel editions, accompanied by appropriate descriptive wording, shall be indicated.

Example: ISBN 3-7770-1234-2  
 English edition ISBN 0-571-07150-6  
 Publisher N.N., London  
 Dutch edition ISBN 90-70002-34-5  
 Publisher R.Z., Amsterdam

- 5.2.10 In the case of books brought out by a publisher jointly with one or several other publishers and therefore appearing with different title pages, reference shall be made, with accompanying descriptive wording, to the ISBNs of the book or books of the other publisher(s) having identical contents. The same procedure shall be followed in

the case of a shared edition, i.e. when a book is distributed by two publishers with a different title page in each case.

Example: ISBN 3-8120-0199-3  
Also published by Publisher XX under  
ISBN 3-88103-087-5<sup>1</sup>

Crucial to understanding the assignment of International Standard Book Numbers is knowing the definition used for "edition," "book," and "title." For ISBN uses (and apparently general purposes in the publishing trade), these three terms are used with the following meanings:

- "Edition" is used with three meanings:
  1. To denote "conceptual editions," as in 1st edition, 2d edition, revised edition, etc.
  2. To denote type of binding (paperback, cloth, etc.)
  3. To denote other facts of printing and presentation (type size, accompanying materials, format)
- "Book" incorporates both a conceptual meaning and a physical meaning.

Its conceptual meaning is a "monographic publication," that is, an item that is itself not a serial, although it may be part of a serial, as in a monographic series.

Its physical meaning incorporates the three meanings of edition.

Generally the conceptual and physical meanings are not differentiated; hence, International Standard Book Number.

- "Title" seems to mean either "book" or "edition" as they have been defined above.

Because the ISBN-related definitions differ somewhat from definitions for "edition," "book," and "title" applied in cataloging rules

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<sup>1</sup> International Standard Book Number (ISBN): Guide, 1st ed. (Frankfurt am Main: Buchhändler-Vereinigung, 1970), pp. 17-21. ISBN 3-7657-0374-5 (translated from German); ISBN 3-7657-0360-5 (original edition).

rules (for example, the Anglo-American Cataloging Rules), misunderstanding and confusion have naturally occurred. In the Anglo-American Cataloging Rules,

- "Edition" generally means conceptual edition, as in 1st edition, 2d edition, revised edition, etc.

"Edition" may also be used to describe format, type size, or accompanying materials, but it is not used to mean type of binding, except perhaps for cataloging rare or precious materials.

- "Book" is used generally in its conceptual meaning of a monographic publication, that is, an item that is itself not a serial although it may be part of a serial, as in a monographic series.

Book is also commonly used in libraries to mean "pieces" -- "the library has 25,000 books" meaning that the library has 25,000 volumes or pieces.

- "Title" means generally the "identifying name of the work" (as in the language of International Standard Bibliographic Description area "title and statement of responsibility"); "title" is also used in conjunction with "copy" or "volumes" to distinguish multiples ("the library has six copies of this title" or "the library has 4,000 titles and 16,000 volumes--a 1:4 title to volume ratio.")

What these differences in definition mean is that for library purposes one book, title, or edition may be identified by one or more than one ISBN. This fact bears upon the usefulness of ISBN within libraries.

It is also worth noting that the word "book" as regularly used in cataloging terminology is not limited to

A set of blank sheets of paper bound along one edge and enclosed within protective covers to form a volume, especially a written or printed literary composition presented in this way.<sup>1</sup>

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<sup>1</sup>"Book [first definition]," in Leonard Montague Harrod, comp., The Librarians' Glossary of Terms Used in Librarianship and the Book Crafts, and Reference Book, 3d rev. ed. (London: Deutsch, 1971), p. 93. ISBN 0-233-96013-9.

Instead, "book" circumscribes a broader range of materials that are monographic publications but that are not serials, although they may be part of serials, as in a monographic series. This broader definition of "book" is also used as the definition for International Standard Book Number and is reflected in the ISBN scope defined by the International ISBN Agency:

### III. The Scope of the ISBN

For the purposes of the ISBN System books and other items to be numbered include:

- Printed books and pamphlets
- Micro-form publications
- Braille publications
- Mixed media publications
- Machine-readable tapes designed to produce readable print-out
- Other similar media

Except:

- Ephemeral printed materials such as diaries, calenders, advertising matter and the like
- Art prints and art folders without title page and text
- Sound recordings
- Serial publications . . . <sup>1</sup>

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<sup>1</sup>International ISBN Agency. The ISBN System: Users' Manual (Berlin: International ISBN Agency, 1975), p. 7. ISBN 3-88053-002-5.

p. 4 of this document states: "The ISBN applies in the main to books--for which the system was originally created--but, by extension, it may be used for any item produced by publishers or collected by libraries (for more detailed definition see section III, The scope of the ISBN). When "book" is used in the manual it should always be taken in this wider sense. The same is true as far as a definition of publisher is concerned."

### Administration of the International Standard Book Number

The use of ISBN is administered at three levels: (1) world-wide by the International Standard Book Number Agency in Berlin, which also is identified as and shall be referred to in this paper as "International ISBN Agency;" (2) regionally by Group Agencies, which are established for each "group identifier" used in the ISBN<sup>1</sup> and which may be subdivided into national agencies; and (3) by publishers.

The International ISBN Agency "...which has an Advisory Panel representing the ISO [International Organization for Standardization] and the publishing and library world..."<sup>2</sup> is responsible for the following functions and services with regard to ISBN:

The principal functions of the International Agency are:

- To supervise the use of the system
- To approve the definition and structure of groups
- To allocate identifiers to groups
- To advise groups on the setting up and functioning of group agencies
- To advise group agencies on the allocation of publisher identifiers
- To promote the world-wide use of the system

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<sup>1</sup> Group identifier is the first part of the ISBN and is used to identify national, geographic, language or other convenient group. See specifications in International Standard ISO 2108, above.

<sup>2</sup> International ISBN Agency, The ISBN System: User's Manual (Berlin: International ISBN Agency, 1975), p. 12. ISBN 3-88053-002-5.

The draft minutes of the 4th May 1976 meeting of the International ISBN Agency Advisory Panel show the following as present at that meeting: A. J. Wells, R. E. Coward, Dr. J. Ehlers, E. Koltay, Dr. K. W. Neubauer, K. W. Wawersig, and Mrs. Gallo. [Source: E. Koltay, R. R. Bowker Co.]

In addition, the International Agency also offers the following services. It will:

Provide a group agency with lists of ISBN (with computer-generated check digits) for the use of publishers in the group.

Provide international registers of publishers identifiers and publishers' names.

Provide from information supplied by group agencies a computer print-out of lists of publisher identifiers, names and locations.

Provide from information supplied by group agencies a computer print-out of invalid or duplicate ISBN.<sup>1</sup>

Each Group Agency is responsible for the following functions:

To manage and administer the affairs of the group.

To handle relations with the International ISBN Agency on behalf of all the publishers in the group.

To decide, in consultation with trade organisations and publishers, the publisher identifier ranges required.

To allocate publisher identifiers to publishers eligible to join the group and to maintain a register of publishers and their publisher identifiers.

To decide, in consultation with trade organisations and publishers, which publishers shall assign numbers to their own titles and which publishers shall have numbers assigned to their titles by the group agency.

To provide technical advice and assistance to the publishers and to ensure that standards and approved procedures are observed in the group.

To make available a manual of instruction for publishers.

To make available computer print-outs of ISBN to publishers numbering their own books with check digits already calculated. (Such print-outs may be obtained from the International Agency on request.)

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<sup>1</sup> International ISBN Agency, The ISBN System: Users' Manual (Berlin: International ISBN Agency, 1975), p. 12 ISBN 3-88053-002-5.

To validate all ISBN assigned by publishers numbering their own books and keep a register of them.

To inform publishers of any invalid or duplicate ISBN assigned by them.

To assign numbers to all publications from those publishers who do not assign their own ISBN and advise the publishers concerned of ISBN assigned upon request.

To achieve, thereby, total numbering in the group.

To arrange with book listing and bibliographic agencies for the publication of ISBN with the titles to which they refer.

To arrange with publishers for the numbering of their back lists and for the publication of these in appropriate trade lists and bibliographies.

To maintain liason with all elements of the book trade and introduce new publishers to the system.

To assist the trade in the use of the ISBN in computer systems.<sup>1</sup>

The United States national agency for ISBN is the International Standard Book Numbering Agency at the R. R. Bowker Company and is described as "a collaboration between the Association of American Publishers, American National Standards Institute--Committee Z39, Library of Congress and R. R. Bowker Company."<sup>2</sup> (To prevent confusion with the office of the same name in Berlin, for the purposes of this paper the U. S. national agency will be referred to as the "U. S. ISBN Agency.")

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<sup>1</sup>International ISBN Agency, The ISBN System: Users' Manual (Berlin: International ISBN Agency, 1975), pp. 13-14. ISBN 3-88053-002-5.

<sup>2</sup>Quotation taken from [U. S.] International Standard Book Numbering Agency letterhead.

The U. S. ISBN agency, which also functions with an Advisory Board,<sup>1</sup> provides the United States bibliographic community with information about ISBN and guidance for its use.<sup>2</sup> In March 1976, information about ISBN assignment was carried in "Standard Book Numbering Manual and Supplement to the Manual"<sup>3</sup> comprised of

SBN: Standard Book Numbering (New York: Standard Book Numbering Agency, R. R. Bowker Co., 1968), 13 p.  
(brochure) SBN 8352-0001-9 [i.e., ISBN 0-8352-0001-9]

"Supplement to the Manual" (New York: International Standard Book Numbering Agency, n.d.) 3 Xerox pages  
[on U. S. ISBN Agency letterhead].

The majority of information about number assignment is found in the 1968 publication SBN: Standard Book Numbering that describes assignment of the nine-digit SBN, the number used prior to the ten-digit ISBN. While procedures for SBN and ISBN assignment are more or less identical, it is unfortunate that a single, complete document for ISBN has not been

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<sup>1</sup>Listed on U. S. ISBN Agency letterhead: "Director: Emery I. Koltay. Advisory Board: Dr. Jerrold Orne-- Chmn, ANSI Committee Z39, Harald Bohne--Canadian Book Pub. Council and Indep. Pubs. Assn. & ISBN Canada, Paul J. Fasana--Chief of Preparation Serv. NYPL, Robert W. Frase--Consultant, Elizabeth A. Geisler--Sr. V. P., R. R. Bowker Co., Robert R. Holmes--Asst. Dir. L.C., Dr. Carol A. Nemeyer--Sr. Assoc. AAP, J. Z. Leonpatenaude--Dr. Gen. Association des Editeurs Canadiens & Societe des Editeurs de Manuels Scolaires du Quebec, Russell Reynolds--Exec. Dir. NACS, G. Roysce Smith--Exec. Dir. ABA."

<sup>2</sup>Information about ISBN and its assignment may be obtained by writing to the U. S. ISBN Agency. In March 1976, before work on this study began, Helen Schmierer wrote to the U. S. ISBN Agency requesting information. The materials received are found in Attachment I to this report.

<sup>3</sup>For copy of this document see Attachment I, items 2.b., 2.b.1., and 2.b.2.



published--if for no other reason than that the nine-digit examples are misleading. The "Supplement to the Manual" contains an interesting provision:<sup>1</sup>

In a catalog running many pages, where space saving is the publishers' concern, you may list only the title number preceded by a hyphen "-" and the check digit, provided the ISBN prefix number is printed in the running head, i.e.:

THE UNIVERSITY OF CHICAGO PRESS ISBN 0-226  
-00086-9

that contradicts the International Standard for ISBN which reads:<sup>2</sup>

When an international standard book number is either written or printed it shall be preceded by the letters ISBN, and each part shall be separated by a space or a hyphen as in the following examples:

ISBN 0 571 08989 5  
ISBN 90-7000-234-5

This permission to split ISBNs is not provided in the West German guide, is followed only in part by the British guide, and contradicts a statement in the 1968 U. S. publication SBN: Standard Book Numbering.

In fact, while there is agreement about presentation of ISBN within or on an item, there seems to be no generally agreed-to method of presenting ISBN in bibliographic tools, except national bibliographies.<sup>4</sup>

<sup>1</sup>"Supplement to the Manual," (New York: International Standard Book Numbering agency, n.d.), p. 2 [On U. S. ISBN Agency letterhead]

<sup>2</sup>International Organization for Standardization, Documentation--International Standard Book Numbering (ISBN), 1st ed. (Geneva: International Organization for Standardization, 1972), p. 1 International Standard ISO 2108.

<sup>3</sup>For detail of West German provisions see Attachment II, Item 1.a. For detail of Great Britain provisions see Attachment II, Item 1.b. For detail of United States 1968 statement see Attachment II, Item 1.c.

<sup>4</sup>National bibliographies (e.g., National Union Catalog, British National Bibliography, Canadiana, New Zealand National Bibliography, Australian National Bibliography, Deutsche Bibliographie) that follow the specifications of International Standard Bibliographic Description (Monographs) record ISBN as the last element in the description and always preceded it with "ISBN".

Examination of several current national "books in print" shows the following different presentations of ISBN:<sup>1</sup>

- 10-digit number preceded by "ISBN"
- 10-digit number not preceded by "ISBN" but sometimes identified in prefatory matter as ISBN; often located in fixed position in citation or enclosed in special punctuation, for example, square brackets or pointed brackets.
- 9-digit number identified as "Standard Book Number"

The United States "books in print" publications--Books in Print, Subject Index to Books in Print, Forthcoming Books, etc.--issued by R. R. Bowker Company present ISBNs in entries as 10-digit numbers identified by "ISBN." Most other "books in print" do not use this form.

U. S. publishers' catalogs present ISBN, what appears to be ISBN, or what appears to be a portion of ISBN in various ways. For example, examination of the first thirteen publishers' catalogs in Publishers Trade List Annual 1976 illustrates that several methods of presenting ISBN are currently in use:<sup>2</sup>

- entries include 10-digit numbers preceded by "ISBN"
- entries include 10-digit numbers not preceded by "ISBN" but otherwise identified as ISBN
- entries include unidentified 10-digit numbers that appear to be ISBN

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<sup>1</sup>For detail of this examination see Attachment II, Item 2.

<sup>2</sup>The first 13 catalogs in the white pages of volume 1 of Publishers Trade List Annual 1976 were used. For detail of this examination see Attachment II, Item 3.

A similar examination of West Germany and Great Britain publishers' catalogs was also undertaken, using some of the catalogs available at The University of Chicago Library. See Attachment II, Item 4, for West Germany; Attachment II, Item 5, for Great Britain.

- ° entries included numbers of fewer than 10 digits that appear to be a portion of ISBN (probably Title Identifier and Check Digit) but no listing of remaining digits (Group Identifier and Publisher Identifier) in publisher's catalog
- ° entries include numbers of fewer than 10 digits that are not explained, but Running Title or other information in publisher's catalog specifies an "ISBN Prefix"

That ISBN information is presented neither uniformly nor clearly in all U. S. publishers' catalogs means that these publications are not reliable sources of ISBN information and, therefore, doubtless discourage, rather than encourage, ISBN use.

Since March 1975, the U. S. ISBN Agency has been supported in its publicity and promotional activities by the ISBN Publicity Committee<sup>1</sup> located in New York City. The goals of the Committee are recorded in the minutes of its first meeting:

A preliminary discussion by Lee Rogers [Committee Chairman] brought the group up-to-date on the events leading up to the formation of the Committee. The goals of this Committee were

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<sup>1</sup>Address: ISBN Publicity Committee, c/o ISBN Agency, 1180 Avenue of the Americas, New York, New York 10036.

Minutes of several Committee meetings show that attendance varies. Attendees are principally from publishing and include representatives from American Booksellers Association, Association of American Publishers, and a number of publishers, and at least one book dealer. The U. S. ISBN Agency is represented, and personnel from the New York Public Library and the New York Public Schools have also attended.

According to Paul D. Doebler, "Publicity Committee Promotes ISBN Usage on Several Fronts," Publishers' Weekly, v. 209, no. 20 (May 17, 1976): 43,

Current members of the Publicity Committee are Random House; Holt, Rinehart and Winston; Atlanta Public Schools; John Wiley & Sons; Brodart; R. R. Bowker Co., American Booksellers Association; New York Public Library; Library of Congress; Association of American Publishers; Walden Book Co.; Van Nostrand Reinhold; Baker & Taylor; New York City Board of Education; Association of American University Presses; National Association of College Stores; Charles Scribner's Sons; Bantam Books.

described as a publicity campaign leading to the fullest use of ISBNs by everyone who buys books--i.e., libraries, schools, colleges, booksellers, wholesalers--as well as more extensive use and fuller understanding of ISBNs by publishers.

Emery Koltay [Director, U. S. ISBN Agency] noted that 89% of all publishers are now using ISBNs, with only one or two major publishers still outstanding. The Committee felt that our purpose is not to influence publishers to start using ISBNs, but to influence those who order from publishers. If their customers start using and requiring ISBNs, publishers will respond.<sup>1</sup>

Currently the ISBN Publicity Committee distributes two brochures promoting ISBN use:

International Standard Book Number and the Librarian, [8]p. n.d.<sup>2</sup>

ISBN: International Standard Book Number and the Bookseller, Librarian, School Administrator, Wholesaler, [8]p. n.d.<sup>3</sup>

International Standard Book Number and the Librarian describes ISBN as "a unique identification number for each book published" (p. 2) and states that ISBN use by libraries will speed delivery of orders, reduce errors in orders, and reduce operating costs (i.e., with ISBN use, less bibliographic information is necessary for an order). As "future benefits," the brochure identifies:

1. Reduction of library costs

Systems being developed by wholesalers permit a library to submit a list of ISBNs to the wholesaler and receive books identified by ISBNs, purchase orders with full bibliographic information and invoice. "By transferring to the wholesaler almost all of the library's order preparation work, the library will realize significant savings in labor costs."

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<sup>1</sup>"Minutes of the ISBN Publicity Meeting, March 26, 1975," p. 1  
[Source: Association of American Publishers files; SUBJECT: ISBN Publicity Committee]

<sup>2</sup>For photocopy, see Attachment I, item 2.e.

<sup>3</sup>For photocopy, see Attachment I, Item 3.

2. Savings to customers using ISBN

More and more members of the bibliographic community (publishers, wholesalers, catalog record services) are using ISBN, and "...the large majority of publishers already use ISBN for order identification and fulfillment. As the number of suppliers using and fulfilling on the basis of ISBN increases, the saving to customers using ISBN will increase."

3. Interlibrary loan will be enhanced

4. Use of computer to direct order items from publishers

5. Foreign book ordering will be simplified

"When ordering with ISBN, precise identification of the book is assured."

6. Unanticipated benefits (not yet identified, but certain to occur.)

ISBN: International Standard Book Number and the Bookseller...

contains somewhat similar information, but seems directed more toward the publisher and wholesaler community than to the library community. The brochure begins with a more detailed explanation of ISBN and its construction, including explanation of the check digit, and advises that ISBN use will reduce problems of identifying titles (questions 6, 11), speed processing of orders (question 7), reduce billing errors (questions 8, 10, 12), and simplify identification of incorrect shipments (question 9).

The Committee has also conducted letter publicity campaigns with publishers,<sup>1</sup> and prepared posters and other promotional materials for use at American Library Association annual meetings<sup>2</sup> and those of other library

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<sup>1</sup>"Minutes of ISBN Publicity Committee Meeting, June 13, 1975," p. 1 [Source: Association of American Publishers files, SUBJECT: ISBN Publicity Committee]

<sup>2</sup>Ibid., p. 2

associations.<sup>1</sup> In addition, the Committee has collected information about ISBN use by publishers; a September 1976 report on a survey of publisher use of ISBN reported

...the majority of publishers are using numbers on the reverse of title page, in catalogs, promotional pieces and ads.

The only two areas where half or less...are not using ISBN (or part of it) is on packing slips and invoices.<sup>2</sup>

The low use of ISBN on packing slips and invoices was attributed to publisher size--many of those not using ISBN in this way or not planning to were houses issuing fewer than 25 titles per year. A number of publishers questioned the usefulness of ISBN on these documents, and others indicated they would include ISBN if greater customer use were made of ISBN or if the necessity arose.

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<sup>1</sup>"Minutes--ISBN Publicity Committee Meeting, February 6, 1976," p. 1-2. [Source: Association of American Publishers files; SUBJECT: ISBN Publicity Committee]

<sup>2</sup>Memo, To: ISBN Publicity Committee, From: Sandra Paul, Subject: Results of Questionnaire on ISBN Usage, Date: 9/26/76, p. 1. [Source: Association of American Publishers files; SUBJECT: ISBN Publicity Committee]

The study reports the results of a June 1976 survey of 500 publishers of which 168 responded.

### Library Use of ISBN

While standard book numbering systems were being considered and after ISBN was approved as an International Standard, a number of library uses for a standard numbering system were envisioned. These potential uses covered library acquisitions, cataloging, circulation, and interlibrary loan. In particular, ISBN has been seen as\*

- Identifying element for item ordered,
- Identifying number for catalog records,<sup>1</sup>
- Replacement for the Library of Congress card number,<sup>2,3</sup>
- Identifying number for shelf location,<sup>3</sup>
- Identifying number for circulation control,<sup>3</sup> and
- Identifying number for interlibrary loan.<sup>3</sup>

What a standard numbering scheme such as ISBN may contribute to library activities depends upon the nature of the activity and the data that support the activity.

Bibliographic data, of which ISBN is an element, are used in a library as a surrogate for items in its collection and for items on order.

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\*Note that citations to sources are not exhaustive, but merely illustrative.

<sup>1</sup>Rita Howard, "Standard Book Numbers at Greenwich," Catalogue & Index, no. 11 (July 1968): 4-5.

<sup>2</sup>Daniel Melcher, "Standard Book Numbering," Publishers' Weekly, v. 193, no. 16 (April 15, 1968): 39-40.

<sup>3</sup>"What shall we do with S.B.N.?" Catalogue & Index, no. 10 (April 1968): 1:

The permanent bibliographic data that a library maintains are certified as catalog records, which are created following cataloging rules, for example, the Anglo-American Cataloging Rules (1967) used by many United States libraries. While a library generally creates a catalog record only when the item being described is in hand, much of the bibliographic data used may have been assembled previously in acquisitions activities preceding the cataloging process. In fact, most libraries create acquisitions records that follow the conventions for catalog records because compatibility between the records is important, even though each type of record may be housed in a separate physical file. Data from catalog records are also used for other library activities such as circulation, where some elements--often call number, main entry, and title--are used for purposes of circulation control.

Because the data conventions followed for catalog records permeate library bibliographic data-handling activities, the discussion of ISBN use in libraries that follows begins with ISBN use in cataloging.



## Cataloging

### General

The library catalog, according to the Paris Principles,<sup>1</sup> "... should be an efficient instrument for ascertaining ... [1] whether the library contains a particular book ... [and 2] which books by a given author and which editions of a particular work are in the library." ("Book", "work", and "edition" are used in the library, not the publishing, sense.)

ISBN can be used to provide the first function of a catalog, location, even though an item may be identified by more than one ISBN. All ISBNs assigned would have to be searched until a match was made. Effective access will be provided only if each catalog record contains every ISBN assigned to the item being described.

ISBN cannot be used to provide the second function of the catalog, collocation. At present it is not possible for ISBN to identify "editions of a particular work," because ISBNs are independently assigned and to this time no attempt to link ISBNs has been made although such systems have been proposed.<sup>2</sup> ISBN itself is not appropriate to identify

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<sup>1</sup>"Paris Principles," in International Conference on Cataloging Principles, Paris, 1961, Report (London: International Federation of Library Associations, 1963), pp. 91-96.

<sup>2</sup>A proposal for linking ISBNs is discussed in the subsection "Linking ISBNs," which appears later in this paper.

Another proposal that is directed primarily toward developing a unique number for bibliographic records but which might also be extended to linking, is the Universal Standard Book Number described in:

F. H. Ayres, "The Universal Standard Book Number (USBN): A New Method for the Construction of Control Numbers for Bibliographical Records," Program, v. 8, no. 3 (July 1974): 166-73.

~~"works by a particular author" because the number carries no authorship~~  
information; for this purpose an author index to ISBNs could be created or a system of linking ISBNs might approach providing this type of access.

The International Standard Bibliographic Description (Monographs),<sup>1</sup> which is incorporated into the Anglo-American Cataloging Rules, revised Chapter 6,<sup>2</sup> specifies the inclusion of ISBN "recorded as found in the publication" as the last descriptive element in the catalog record. The Library of Congress follows these rules (and in fact included ISBN or its predecessor SBN in LC records for some time prior to the rules requiring inclusion.)

#### Use of ISBN as Identifying Number for Catalog Record

It is not uncommon for libraries producing catalog records, whether these records be for manual files or machine files, to assign

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D. Diane Beale and Michael F. Lyncey, "An Evaluation of, and Improvement on, Ayres' Universal Standard Book Number," Program, v. 9, no. 2 (April 1975): 35-45.

F. H. Ayres, "The Universal Standard Book Number (USBN): Why, How and a Progress Report," Program, v. 10, no. 2 (April 1976): 75-80.

<sup>1</sup>International Federation of Library Associations, ISBD(M)--International Standard Bibliographic Description for Monographic Publications, 1st standard ed., London: IFLA Committee on Cataloguing, 1974, 36 p.

<sup>2</sup>Anglo-American Cataloging Rules, prepared by the American Library Association, the Library of Congress, the Library Association, and the Canadian Library Association, North American Text, Chicago: American Library Association, 1967, 400 p.

Specifications for ISBN use are found in: Anglo-American Cataloging Rules, North American Text ... Chapter 6: Separately Published Monographs ... Revised to Accord with International Standard Bibliographic Description (Monographs), Chicago: American Library Association, 1974, 122 p.  
ISBN 0-8389-3156-1.

each (unit) record a unique identifying number. Perhaps the most widely recognized example of this type of number is the Library of Congress card number, also used as the control number for Library of Congress MARC records. Such control numbers are also used regularly to identify records in national bibliographies.

ISBN could be used as the identifying (control) number for a cataloging (unit) record in a library. Specifically, it has been suggested that instead of the LC card number the ISBN should be used as the control number for Library of Congress cataloging records. Rather<sup>1</sup> discussed the problems attendant to using ISBN for this purpose, and his remarks apply equally to Library of Congress records or those of another library. Noting that many catalog records would contain only one ISBN (just as and because many publications are identified by only one ISBN), he also points to the following difficulties:

- ° An item with more than one ISBN is represented by one catalog record
- ° Several items, each with ISBN or ISBNs, are represented by one catalog record (e.g., multi-volume monograph)
- ° An item with one ISBN is represented by more than one catalog record (e.g., "analytics," or when for cataloging purposes a second record is necessary for another cataloging "edition.")

Another difficulty presented is that not all items, especially older material, cataloged by a library will have an ISBN assigned. Further, it seems clear that if one is to use a number as a control number, it should be a number over which one has control.

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<sup>1</sup> John C. Rather, "ISBN as a Means of Controlling Catalog Records: An Evaluation." Unpublished paper. December 22, 1972. 14 leaves.

## Linking ISBNs

The problems identified as requiring resolution if ISBN is to be used as a control number for cataloging records also arise when one considers the possibility of somehow using ISBN as an identifier for "works."

As used in the Paris Principles, "work" denotes an abstract idea (for example the idea of "Hamlet") that may be represented by one or more "texts" that in turn may be represented by one or more tangible exemplars (physical items, "books.")<sup>1</sup> The International Standard Bibliographic Description (Monographs) provides the structure for describing the tangible exemplars, and incorporates the following areas of description:

1. Title and statement of responsibility
2. Edition statement
3. Imprint (place of publication, publisher, date of publication, printer, date of printing)
4. Collation (extent, illustration, size, accompanying material)
5. Series statement
6. Notes
7. Standard numbering (International Standard Book Number)

The identification of the work that an exemplar contains is determined following rules for choice of entry, as for example the rules for choice of entry in the Anglo-American Cataloging Rules (1967).

Just as it is true that many exemplars have only one ISBN, it is also true that many exemplars are the only representation of a single text of a single work. For these cases presumably the ISBN of the exemplar may function as the ISBN for the "work." What is equally true

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<sup>1</sup> Cf. Patrick Wilson, Two Kinds of Power; An Essay on Bibliographical Control (Berkeley: University of California Press, 1968), 155 p. University of California publications: librarianship, 5.

is that this simple case is not always the case. Consider the following examples:

- A. Dales, Richard. The scientific achievement of the Middle Ages. University of Pennsylvania Press, 1973.

ISBN 0-8122-7673-6 text ed.

ISBN 0-8122-1057-3 pbk. text ed.

(One work, one text, two exemplars; description of both exemplars identical except that ISBNs are different).

- B. Farago, Ladislav. Game of the foxes. McKay, 1971.

ISBN 0-679-50249-1

Farago, Ladislav. Game of the foxes. Bantam, 1973.

ISBN 0-533-07477-6

(One work, one text, two exemplars; description of exemplars is not identical because imprint information is different)

- C. Bellow, Saul. Herzog. Viking, 1964.

ISBN 0-670-36912-8

Bellow, Saul. Herzog. Viking, 1976. (Viking critical library edition)

ISBN 0-670-36913-6

ISBN 0-670-01810-4 pbk.

(One work, one text, three exemplars; one description for exemplar of 1964; description for both exemplars for 1976 identical except that ISBNs are different.)

In the Dales example, there exists one cataloging record that contains two ISBNs. In the Farago example, there exists two cataloging records, each of which contains one ISBN. In the Bellow example, there exists two cataloging records, the first of which contains one ISBN and the second of which contains two ISBNs. In each example, which ISBN should be the ISBN to identify the "work"?

A procedure for identifying "works" by ISBN is presented

in "Use of the ISBN as a Bibliographic Number," a paper prepared by the International ISBN Agency in Berlin.<sup>1</sup> This paper proposes the transformation of ISBN into a "Bibliographic ISBN" (BISBN) according to two general rules:

1. If only one ISBN has been allocated, it becomes the BISBN
2. If more than one ISBN has been allocated, the first ISBN to appear becomes the BISBN.

The paper discusses at some length the ramifications of the second rule, exploring problems of retrospective allocation, reprints, loose-leaf services, series, multiple and changed publishers, multi-volume monographs, and translations. The concept of BISBN was also discussed by the International ISBN Agency Advisory Panel at its May 4, 1976, meeting, and the Panel concluded "that too little was known about the actual and potential use of ISBNs in the library and book community to reach any conclusions about the need for a preferred number or BISBN."<sup>1</sup>

The notion that a number, ISBN or another, might be used to identify a "work" and somehow collocate the texts of that work and the exemplars of each text is an attractive idea. It is possible that methods permitting this identification may be developed, although clearly the 10-digit ISBN was not designed for such purpose. To be most

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<sup>1</sup>International ISBN Agency, "Use of the ISBN as a Bibliographic Number; Paper Prepared by the International ISBN Agency, Berlin." n. d. Unpublished paper; unedited translation, undertaken by Rosamund Kerr, IFLA International Office for UBC, London. 10 leaves. (Photocopy used stamped: RECEIVED Sep 29 1975 E. KOLTAY)

<sup>2</sup>International ISBN Agency. Advisory Panel, "Minutes of the Meeting Held in Brussels on 4th May 1976; Draft." Unpublished paper, signed: R. E. Coward 10.5.76. 4 p. (Photocopy used stamped: RECEIVED May 14 1976 E. KOLTAY)

useful, the identification of "works" by ISBN should mirror the collocation function of the catalog, this being the method by which "works" are now identified. The rules for entry in the Anglo-American Cataloging Rules (1967), used widely in English-speaking countries and also in many other countries in translations, are however not the only rules for choice of entry. If the catalog collocation function is to be used as the basis for linking ISBNs, some differences between different cataloging traditions for choice of entry require resolution. Establishing links between ISBNs will probably be the responsibility of national bibliographic agencies, rather than publishers because publishers may not wish to print all related ISBNs in their publications -- for example, would a publisher wish to print in his books ISBNs for other editions that he did not publish or distribute and that in fact may be competing for sales with one he does publish and distribute? It may also not be feasible for individual cataloging records to contain all ISBNs pertinent to a work. Instead, linking of ISBNs could be provided in an index to the cataloging records. And, although the ISBN may be used to provide the link, the 10-digit ISBN is not sufficient for the user to differentiate between the various "books" related to a "work." For this reason, the differentiation will require access to full bibliographic information or could be realized if information about "edition," "binding," etc. that differentiate one exemplar from another were used to augment the ISBN, as for example:

ISBN 1 (1st ed.)

ISBN 2 (1st ed., rev.)

ISBN 3 (1st ed., rev. 1970, pbk.)

ISBN 4 (1st ed., rev. 1970, text ed.)

While the extension of ISBN to identifying "works" would provide some benefits for ordering and interlibrary loan (e.g., the ability to order ISBN 1 in latest edition, or to specify an interlibrary loan request for ISBN 3 in any edition), it is questionable if ISBN should be used to identify works. Other information, such as author and title, seem more suited to identifying works leaving the ISBN to identify exemplars. Careful attention should be directed to this potential use of ISBN, beginning with a detailed consideration of the information needed to identify works and then to differentiate the texts of a work and the exemplars of texts.

#### Conclusion

With regard to cataloging and cataloging records, ISBN can be used most effectively as an access to cataloging information. This type of access is currently provided by machine systems (such as Ohio College Library Center and the University of Chicago Library Data Management System) and also through printed products (such as ISBN indexes to national bibliographies and computer-output-microform fiche distributed by MARCFICHE). To increase the likelihood of ISBN use as access to cataloging information, those who produce catalog records (both librarians and vendors) should be encouraged to include ISBN in catalog records in accordance with the provisions of the International Standard Bibliographic Description (Monographs) and the Anglo-American Cataloging Rules.

Further, to enhance the potential for this access, all ISBNs assigned to the item represented by the catalog record should be included.



ISBN is not recommended for use as a record control number. It should be possible to access catalog information by ISBN, and it should also be possible to order catalog records by ISBN. In particular, ordering catalog records by ISBN could be used and would be very useful when an ISBN is known and the LC card number is not known or one is not assigned (e.g., non-United States imprints).

The appropriate catalog function for the ISBN is the location function. This can be supplied if a catalog record contains all ISBNs assigned for the item being described. It is possible that the ISBN may be able to assume a role in the collocation function of the catalog. Because the collocation function is inextricably tied to the concept of responsibility for a work (authorship), the introduction of ISBN into this function should proceed with great care. The 10-digit ISBN is not entirely appropriate for use in collocation, but research into its use in this way may identify methods by which it can be used for this purpose. Currently, these methods have not been developed and the potential for this use remains largely unexplored.

## Circulation

Traditionally, libraries have provided access to circulation records by call number, author and title, accession number, due date, and/or borrower. In manual systems these accesses are accomplished by creating the necessary files, often by duplicating transaction evidence. In machine systems the same types of access may be provided through indices to a single record.

Just as ISBN may be used to access catalog records, so it could also be used as an access to circulation records. ISBN access to circulation information could be realized either directly through an independent circulation file or indirectly through a catalog linked to circulation records.

A basic requirement for circulation control is that each physical piece must have a unique identifier. The call number (classification number plus copy number) traditionally has been the unique number used. Library-assigned accession numbers have also been used; recently arbitrary piece numbers represented by machine-readable bar-coded labels have come into use. ISBN alone cannot be used as the physical piece identifier because ISBN alone does not distinguish between copies.

If interest exists in using ISBN as the basis for piece identification in circulation, attention should be directed to developing guidelines that will recommend how to augment the ISBN so that copies may be distinguished one from another. (Clearly the simple expedient of adding a copy number could be used; however, if the ISBN number is to be used widely and

in a variety of ways, some suggested procedures for ISBN augmentation would be both useful and sensible.) Further, guidelines would have to be developed for choosing among more than one ISBN on a piece. In addition, some method of assigning an ISBN to an item not now identified by one would also have to be developed.

These comments regarding ISBN use as piece identifier would also apply to the use of ISBN for shelf location.

[While it is certainly possible to build an index to library holdings by ISBN, unless the problems attendant to more than one ISBN per cataloging title are resolved, the usefulness of the index would decrease.]

### Interlibrary Loan

Interlibrary loan activities in the United States are conducted generally following the "National Interlibrary Loan Code" and using a recommended Interlibrary Loan Request form.<sup>1</sup> The approved form asks for the following bibliographic information:

- ° Author (or periodical title, vol. and year)
- ° Title (with author & pages for periodical titles) (Incl. edition, place & date)
- ° ☒ This edition only.

Although interlibrary loan is a "library acquisitions" activity (being the temporary acquisition of materials), it differs from ordering importantly in that it is a library to library, rather than a library to vendor, transaction. Much of the time that

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<sup>1</sup>"National Interlibrary Loan Code, 1968," in American Library Directory, 1976-77 (New York: Bowker, 1976), p. 1283-1285. ISBN 0-8352-0891-5; ISSN 0065-910X.

a lending library devotes to interlibrary loan is devoted to mapping the bibliographic information of the requestor to the bibliographic information and holdings of the lender.

Obviously, if ISBN is to be used in interlibrary loan, the first step is to ask for ISBN on the request form. (Many National Union Catalog records and records in machine-readable data files contain ISBN.) If present on the request form, the lending library could use ISBN to verify the item requested. If the lending library has access to its records by ISBN, the number could also be used as a means to identify the item requested.

Attention could profitably be directed to developing a machine-readable format for interlibrary loan communication, based upon use of ISBN and American National Standard Z39.2 -- American National Standard for Bibliographic Interchange on Magnetic Tape.<sup>1</sup> The American National Standards Institute has already initiated a similar activity for use of International Standard Serial Number (ISSN) and ANSI Z39.2 for communication of serial requests.<sup>2</sup> Insofar as interlibrary loan and library ordering activities are similar, it may be that a generalized format for acquisitions can be developed that may be used for both interlibrary loan and ordering.

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<sup>1</sup>American National Standards Institute, American National Standard for Bibliographic Interchange on Magnetic Tape; Approved July 14, 1970 (New York: American National Standards Institute, 1971), 34 pp. ANSI Z39.2-1971.

<sup>2</sup>Cf. American National Standards Institute. Subcommittee on Code Identification of Serial Articles, "Fourth Draft Identification Code of Serial Articles (Chapel Hill, N.C.: American National Standards Institute, Standards Committee Z39, 1974), 16 p. (For Committee use only.)

## Acquisitions

### General

Use of ISBN in library acquisitions procedures is its most obvious use. Because ISBN has been designed to identify each publisher title and publisher edition specifically and when properly assigned the ISBN provides such identification, library use of ISBN when dealing with publishers and vendors should facilitate accurate communication. In fact, library use of ISBN on order forms has regularly been promoted as a means of ensuring quicker and more accurate order fulfillment.<sup>1</sup> If libraries include ISBN in orders sent to vendors, or if ISBN is returned to libraries on vendor invoices or packing slips, the ISBN may be used by a library to verify receipts. (Currently many libraries use bibliographic information or local order numbers for receipt verification.)

The ISBN alone could be the only bibliographic information in the order record transmitted to a vendor. Even when copied accurately, the ISBN is so compact a shorthand notation that generally the ISBN alone provides insufficient information to the library employee or the library user attempting to identify an item. At best, a library employee or user may recognize the publisher through the digits used for Group Identifier and Publisher Identifier, but more extended bibliographic information about the item (author, title, edition, date of publication) is needed for full

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<sup>1</sup>See for example:

International Standard Book Number and the Librarian. [8]p., n.d. (Attachment I, item 2.e.)

ISBN: International Standard Book Number and the Bookseller, Librarian, School Administrator, [and] Wholesaler. [8]p., n.d. (Attachment I, item 3.)

identification and these can be learned only from a citation or the piece.

Extended bibliographic information is clearly important to libraries for their internal records and their user services.

The procedures followed in the library acquisitions process generally include the following steps:

1. Library receives recommendation to order an item.
2. Library searches recommendation against library files to determine if item in library.
3. Library decides to order item.
4. Library completes internal bookkeeping for order.
5. Library prepares order for transmittal to vendor.
6. Library sends order to vendor.
7. Vendor receives order.
8. Vendor completes internal processing of order.
9. Vendor sends ordered item and invoice to library customer.
10. Library receives ordered item and invoice.
11. Library verifies ordered item against order record and/or invoice.
12. Ordered item forwarded for other library processing (usually cataloging).

Bibliographic information is central to most of these steps, and currently most libraries use full bibliographic information to proceed through these steps. At each of these steps a processing queue may develop. Library use of ISBN and access to records by ISBN may shorten the amount of time that a library spends in steps 2 (searching), 5 (order preparation), and 11 (order verification). Vendor use of ISBN and access to records and items by ISBN may shorten the amount of time a vendor spends in step 8 (vendor internal processing).

Information about library use of ISBN in acquisitions and wholesaler evaluation of ISBN is found in the report of a survey conducted in

1974 by the AAP/RTSD Joint Committee<sup>1</sup> (a joint committee of the Association of American Publishers and the American Library Association's Resources and Technical Services Division). In this survey, a majority of respondent libraries reported that they neither used ISBN when ordering (Table 1a) nor did they consider ISBN bibliographic information important to order preparation (Table 1b). At the same time, approximately one-third of the wholesalers responding said that the inclusion of ISBN on orders would help them serve the library market better (Table 2).

#### Developments in Order Communication

Relevant to shortening the time spent by libraries and vendors in several ordering steps is the work of the ISBN Data Transmission Committee<sup>2</sup> in New York. The goals of this Committee (which began as the Data Transmission Study Group and is also referred to as ISBN Data Transmission Study Group) are stated in the minutes of its first meeting:

The Chairman [David Wolverton] opened the meeting by stating the committee mission, "...to further the use of the ISBN through book handling operations so that all participants in the distribution system might enjoy the benefits of reduced cost and improved service. In order that this end might be accomplished the ISBN must first enjoy wide use among publishers. Central to all of this, is the furnishing of ISBN data to all book ordering sources, and the incorporation of the ISBN into publisher book order fulfillment systems. Only at this point has the opportunity for improve-

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<sup>1</sup>"Numerical Results from Three Surveys on Book Marketing and Selection: A Publisher/Library Forum." Sponsored by ALA's Resources and Technical Services Division, Resources Section, and the Association of American Publishers/RTSD Joint Committee. Chicago: Resources and Technical Services Division, American Library Association, 1975, 45 p.

<sup>2</sup>Minutes of several Committee meetings show that membership includes representatives from vendors of technical processing services (book vendors, catalog record vendors, etc.), publishers, book stores, the New York Public Library, and the U. S. ISBN Agency.

Table 1a

Type of Library by ISBN Use When Ordering  
As Reported by AAP/RTSD Joint Committee<sup>a</sup>

Type of Library	ISBN Use When Ordering			
	Yes		No	
	Number	Percent	Number	Percent
Association of Research Libraries	29	40.2%	43	59.7%
College-University	5	13.8%	31	86.1%
Community College	7	16.6%	35	83.3%
Public	6	12.7%	41	87.2%
TOTAL	47	23.8%	150	76.1%

<sup>a</sup>From "Numerical Results from Three Surveys on Book Marketing and Selection: A Publisher/Library Forum." Sponsored by ALA's Resources and Technical Services Division, Resources Section, and the Association of American Publishers/RTSD Joint Committee. Chicago: Resources and Technical Services Division, American Library Association, 1975, pp. 22, 26, 30, 34, 38. Responses to Question 30: "Do you use International Standard Book Numbers (ISBNs) when ordering? Yes... ( ) No... ( )." [Percentages reported in study have been adjusted to eliminate non-respondents.]

Table 1b

Type of Library by Additional Bibliographic Information  
Considered Important in Preparing an Order  
As Reported by AAP/RTSD Joint Committee<sup>a</sup>

Type of Library	Additional Bibliographic Information Considered Important in Preparing an Order							
	ISBN		LC Card Number		CIP Information		Other	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Association of Research Libraries	31	43.5%	46	63.8%	21	29.1%	19	26.3%
College-University	9	23.6%	27	71.5%	14	36.8%	0	0.0%
Community College	6	16.2%	32	86.5%	15	46.5%	1	2.7%
Public	4	12.1%	23	69.9%	9	27.3%	11	32.3%
TOTAL	50	27.7%	128	71.1%	59	32.8%	31	17.2%

<sup>a</sup>From "Numerical Results from Three Surveys on Book Marketing and Selection: A Publisher/Library Forum." Sponsored by ALA's Resources and Technical Services Division, Resources Section, and the Association of American Publishers/RTSD Joint Committee. Chicago: Resources and Technical Services Division, American Library Association, 1975, pp. 22, 26, 30, 34, 38. Responses to Question 31: "What bibliographic information is important in preparing an order, in addition to author, title, publisher, date of publication, and price? (Please check as many as apply.) International Standard Book Number... ( ) Library of Congress Catalog Card Number... ( ) Cataloging in Publication information... ( ) Other (please specify) \_\_\_\_\_. ( )." [Percentages reported in study have been adjusted to eliminate non-respondents.]



Table 2

Wholesaler Evaluation of Importance of Certain Information  
For Library Market Services  
As Reported by AAP/RTSD Joint Committee<sup>a</sup>

Information	Type of Wholesaler						Total N=27  Number Percent	
	Small Wholesalers (under \$1,000,000) N=12		Medium Wholesalers (\$1,000,000- \$5,000,000) N=9		Large Wholesalers (over \$5,000,000) N=6			
	Number	Percent	Number	Percent	Number	Percent		
Cataloging in Publication (CIP)	4	33.3%	8	88.8%	6	100.0%	18	66.7%
Standard order forms	10	83.3%	4	44.4%	2	33.3%	16	59.2%
ANSI Standard Account Numbers	0	0.0%	2	22.2%	1	16.7%	3	11.1%
International Standard Book Numbers (ISBNs) on library orders	4	33.3%	3	33.3%	3	50.0%	10	37.0%
Library of Congress Catalog Card Numbers on library orders	0	0.0%	1	11.1%	2	33.3%	3	11.1%
Other	0	0.0%	0	0.0%	0	0.0%	0	0.0%

<sup>a</sup>From "Numerical Results from Three Surveys on Book Marketing and Selection: A Publisher/Library Library Forum." Sponsored by ALA's Resources and Technical Services Division, Resources Section, and the Association of American Publishers/RTSD Joint Committee. Chicago: Resources and Technical Services Division, American Library Association, 1975, pp. 11, 13, 15, 17. Responses to Question 13: "Which of the following can help you serve the library market better? (Please check as many as apply) Cataloging in Publication (CIP)...( ) Standard order forms...( ) ANSI Standard Account Numbers...( ) International Standard Book Numbers (ISBNs) on library orders...( ) Library of Congress Catalog Card numbers on library orders ... ( ) Other \_\_\_\_\_..." [Percentages for large wholesalers have been corrected to eliminate one non-respondent.]

ment, throughout the distribution chain, been made available to publishers, wholesalers, retailers and libraries alike."<sup>1</sup>

Publishers and vendors present at this meeting described current and planned levels of ISBN use:

Doubleday, Harper & Row, McGraw-Hill, Prentice Hall, Simon & Schuster, Random House, John Wiley & sons and Book Warehouse all include ISBN in their computer-based title records.

Harper & Row, McGraw-Hill, Prentice Hall, Simon & Schuster, Random House, John Wiley & Sons and Book Warehouse use the ISBN (or a portion thereof) as an access key to their fulfillment system. For McGraw-Hill, Simon & Schuster, Random House, and Book Warehouse the ISBN is the only file access. All publishers indicated that orders with ISBNs enjoy expedited handling.

Other committee members, particularly Bro-Dart and Baker & Taylor, reaffirmed their strong interest and commitment to ISBN use throughout the order/fulfillment process. Those primarily concerned with bibliographic information, e.g., R. R. Bowker and Information Dynamics, both indicated strong reliance on the ISBN.

Following these reports from publishers and vendors, it was agreed that Committee efforts would be directed toward developing a communications format for transmitting orders in machine-readable form.

In spring 1976, the Committee announced approval of a "Proposed Communications Format for ISBN Purchase Order Tapes"<sup>2</sup> and reported on planned use of the format by a number of publishers and vendors:

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<sup>1</sup>"Minutes Data Transmission Study Group [i.e., ISBN Data Transmission Committee], March 7, 1975," p. 2. [Source: Association of American Publishers files; SUBJECT: Standards--ISBN--Data Transmission Committee]

<sup>2</sup>"Proposed Communications Format for ISBN Purchase Order Tapes," n.p.: 1976, 13 p. with cover sheet. [Date of issue does not appear on item. Source: Association of American Publishers files; SUBJECT: Standards--ISBN--Data Transmission Committee]

The format is now being programmed for computer operation by several publishers, retailers and wholesalers to run on their computer systems. Two companies, B. Dalton and Random House, which have already begun experimental transmission will convert to the format. As soon as Dalton has completed the transition to the new format, they will begin operations with other publishers. Bro-Dart will begin transmission to publishers in June; Baker and Taylor in July.<sup>1</sup>

The format specifies a fixed record length of 80 characters, which was adopted "...due to the simplicity of design and the more pragmatic approach toward faster adoption of this format within the book industry."<sup>2</sup> The format also describes seven record types, some or all of which will appear on an order tape:

1. Customer Header Record

"Identifies the customer and vendor account and also provides information pertinent to the purchase order"

2. Special Handling Instruction Record (Optional)

Contains "special instructions not provided for in Customer Header Record

3. Customer Ship to Name/Address Records (Optional)

"Required only if the order is to be shipped to a different address than specified by the customer's bill address" that is found in Customer Header Record

4. Customer Detail Record

An abbreviated record which identifies and individually describes each line item on order and includes ISBN and LC card number (if ISBN is not available, this record must contain first 10 characters of title and Customer Appended Detail Record must be provided).

5. Customer Appended Detail Record (Optional)

"Required only if the ISBN is unavailable in the Customer Detail Record" and contains characters 11-40 of title being ordered, edition, binding, etc.

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<sup>1</sup>Paul D. Doebler, "ISBN Task Force Begins Experimental Use of Computerized Book Ordering Methods," Publishers' Weekly, v. 209, no. 20 (May 17, 1976): 42-43.

<sup>2</sup>"Proposed Communications Format for ISBN Purchase Order Tapes," n.p.: 1976, cover sheet.

6. Customer Control Record

"Specifies the end of an order and should be used as means to reconcile the individual purchase orders."

7. File Trailer Record

"Indicates end of file and provides information to reconcile the number of purchase orders and records contained on the file."

The "Proposed Communications Format for ISBN Purchase Order Tapes" could also be used by libraries for ordering monographic material. This format, however, does not meet the requirements of American National Standard for Bibliographic Interchange on Magnetic Tape, ANSI Z39.2-1971.<sup>1</sup> This means unfortunately that the order format also differs from the machine-readable formats most used by libraries, the Library of Congress MARC communications formats<sup>2</sup> that adhere to ANSI Z39.2-1971. The order communications format contains primarily information usable to the vendor, and the extended bibliographic information that libraries have traditionally maintained about orders is often not present or present only in coded form, which suggests that library internal processing formats for orders will differ from the order communications format. These differences do not make the order format unusable by libraries, however. But before implementing the order communications format for monographs, libraries may be interested in determining if the format can also be applied to serials.

<sup>1</sup>American National Standards Institute, American National Standard for Bibliographic Interchange on Magnetic Tape; Approved July 14, 1970 (New York: American National Standards Institute, 1971), 34 pp. ANSI Z39.2-1971.

<sup>2</sup>Cf. United States. Library of Congress. MARC Development Office, Books: A MARC Format; Specifications for Magnetic Tapes Containing Catalog Records for Books, 5th ed. (Washington: Library of Congress; for sale by the Supt. of Docs., U. S. Govt. Print. Off., 1972), 106 p. ISBN 0-8444-0019-X.

## Conclusion

With regard to library acquisitions procedures, ISBN can be effectively used by the library as an element in order records transmitted to vendors. If a library has ISBN access to its order records, the number will also be internally useful to the library. Regardless of whether the library has ISBN access to its order records, the number can also be used effectively for order receipt verification if it is included in library order records, or in vendor-produced invoices or packing slips.

Library use of ISBN on order records, however, requires consistent reinforcement by all vendors--if vendors do not advise libraries that ISBN is useful for order fulfillment or convince libraries that ISBN use facilitates fulfillment, libraries may see no need to include ISBN on order records. To increase the likelihood of ISBN use by libraries, vendor-produced order forms should include space for ISBN, and vendor-produced packing slips and invoices should include ISBN.

For the same reasons that ISBN is not recommended as a catalog record control number, it is not recommended as an order control number for libraries. Nor is ISBN alone recommended as the only bibliographic information transmitted with an order, particularly as long as libraries use multiple-copy order forms with one copy going to the vendor and the other copies being used for library internal recordkeeping. In the future, ISBN with little or no other bibliographic information may be used for order records sent to vendors through use of machine-readable data in the Order Communications Format. Experimental use of this format by libraries is desirable.

### Commentary and Conclusions

The literature survey and analysis has identified a considerable body of information about International Standard Book Number and its administration, and about potential uses of ISBN by libraries, but few publications describing actual library use of ISBN. Much of this information has probably not reached libraries--often it appears in publishing journals, in pamphlets, or in unpublished minutes of meetings.

Library use of ISBN will be facilitated and encouraged only if information about ISBN is more readily available. Perhaps most important is the preparation of an "International ISBN Users' Manual" that explains in detail the conditions under which ISBNs are assigned and the wide distribution of the manual to all segments of the bibliographic community (publishers, vendors, libraries, etc.) Preparation of this manual will require complete international agreement about number assignment practices and ISBN presentation in publishers' catalogs, announcements, brochures, etc., and in other listings, such as books-in-print. Specifications in this manual should agree with the specifications in the International Standard for ISBN and should take into account specifications found in International Standard Bibliographic Description (Monographs).

Publicity about ISBN-related activities should be more widely disseminated to the bibliographic community, and in particular, to libraries. If for example, some libraries, publishers, or vendors find ISBN valuable information on orders, this information should be made a matter of public record. (By the same token, if the bibliographic community finds ISBN not useful, this should also be a matter of public record.)

The circumstances leading to the development of ISBN suggest that the number was created primarily to facilitate control of large-volume inventories that many book vendors and wholesalers as well as publishers maintain. Libraries may use ISBN for some of their activities as well, even though their inventories (while sometimes large) are small-volume. In fact, ISBN use in the ordering process is the most obvious library use--by using ISBN, libraries are presumably communicating in the vendor-preferred manner. ISBN may be useful to libraries for inter-library communications such as interlibrary loan.

Libraries may find few internal uses for ISBN. Unless a library has access to its records (order, cataloging or other) by ISBN, the number is useful only as an added element of information available for bibliographic verification activities.

## CHAPTER II

## QUESTIONNAIRE SURVEY OF LIBRARIES

Introduction

The questionnaire survey technique was used to ascertain current use of ISBN by United States libraries and librarians' views of potential uses of ISBN. The purposes of the questionnaire survey of libraries were:

- ° To determine if United States libraries currently are using ISBN
- ° To ascertain how and under what circumstances United States libraries currently are using ISBN
- ° To learn why United States libraries currently use ISBN and why they do not
- ° To elicit suggestions for potential uses of ISBN by United States libraries.

In order to conduct the library survey, a total library population was defined, a sample population was defined, and a library questionnaire was designed and distributed to the sample population.

Total Library Population

So that the library questionnaire would survey current and potential uses of ISBN in a broad spectrum of United States libraries, it was decided to include libraries of the following types:

- ° public libraries
- ° college and university libraries
- ° school libraries (elementary, junior high, and senior high)
- ° special libraries.

Three lists were identified as possible comprehensive sources for library names and addresses of libraries in the United States:



The American Library Directory<sup>1</sup>, American Library Association Mailing Lists<sup>2</sup>, and the R. R. Bowker Mailing Lists.<sup>3</sup> The R. R. Bowker Mailing Lists were chosen to define the total library population from which the library survey sample was to be drawn. The Bowker Mailing Lists were chosen because they incorporate libraries listed in the American Library Directory, include school libraries, and may be computer processed to select a random sample.<sup>4</sup> From the Bowker Mailing Lists, libraries in the following categories<sup>5</sup> were used:

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<sup>1</sup>American Library Directory 1974-75 (New York: Bowker, 1974), 1 v. ISBN 0-8352-0716-1; ISSN 0065-910X.

<sup>2</sup>"ALA Mailing Lists: Order Form." (Chicago: American Library Association). Flier.

<sup>3</sup>"Mailing Lists," in R. R. Bowker Catalog 1975-76, pp. 43-45.

<sup>4</sup>The American Library Directory was not chosen because it does not include school libraries. Also the libraries listed in this publication are also available in the Bowker Mailing Lists.

The American Library Association Mailing Lists were not chosen because it is not possible to computer-process the lists to draw a random sample.

<sup>5</sup>The R. R. Bowker Mailing Lists also include libraries of the following types that were not included in the library population defined for the survey:

County and Regional Libraries  
Government Federal and Armed  
Services Libraries  
Branch Public Libraries  
Catholic High School Libraries  
Catholic Elementary School  
Libraries  
Private High School Libraries  
Private Elementary School  
Libraries

Law Libraries  
Medical Libraries  
Libraries with Record Collections  
Libraries with Film Collections  
Libraries Who Buy Spanish-  
Language Books  
Religious Libraries of All Types  
Catholic Libraries  
Protestant Libraries  
Jewish Libraries

Some of the libraries in these categories also appear in categories chosen for inclusion.

- ° Public Libraries in the U. S.
- ° College and University Libraries
- ° Junior College Libraries
- ° Public High School Libraries
- ° Junior High School Libraries
- ° Elementary School Libraries
- ° Special Libraries

In November 1976, these library categories in the Bowker Mailing Lists comprised 90,296 libraries -- Public, 9.8%; College and University, 1.8%; Junior College, 1.2%; School libraries, 78.6%; Special libraries, 8.5%. (See Table 3)

#### Library Sample Population

The size of a sample population and the method used to draw the sample population from the total population are conditioned by what information the survey is to elicit and how the responses will be analyzed. A useful sample type is one that reflects the characteristics of the total population, and that is drawn in such way that with sufficient returns response patterns may be reliably attributed to the total population. This type of sample may be referred to as a "total population probability sample."

Another useful sample type is one in which the total population is stratified into subgroups; samples are drawn from the total population and each subgroup in such way that with sufficient returns sample response patterns may be reliably attributed to the total population and to each subgroup, respectively. Yet a third useful sample type is one in which only subgroups of the total population are studied for comparison. In this case, a probability sample is drawn from each subgroup such that

with sufficient returns response patterns for a subgroup may reliably be attributed to the total population for each subgroup.

The size of the defined total library population and of each subgroup within it are sufficiently large that to draw a probability sample of the total population or of any one of its subgroup populations requires a sample size of at least 315-398 libraries for each population.<sup>1</sup> This being the case, it was decided to define a sample size that would include a probability sample for the defined total library population only. The smallest size possible for the probability sample is 398, and this number would reflect the distribution of types of libraries in the Bowker Mailing Lists. (Cf. Table 3) For example, public elementary school libraries are 47% of the defined total library population and would also be 47% of the probability sample population.

Because types of libraries in the defined total population range in number from 1,097 to 42,491, it was decided to augment the total probability sample so that at least 75 libraries would be selected for each type of library. (Note that none of the type of library samples is a probability sample.) Accordingly the total sample drawn from the Bowker Mailing Lists is that shown in Table 3. Libraries were randomly selected from the Bowker Lists, which are in ZIP Code order, by specifying "every nth library."<sup>2</sup> For each library selected a mailing label was printed.

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<sup>1</sup>Cf. Taro Yamane, Elementary Sampling Theory (Englewood Cliffs, N.J.: Prentice-Hall, 1967), p. 398. Figures used in text refer to a sample with 95% confidence interval with  $\pm 5\%$  precision.

<sup>2</sup>For reasons unexplained, when Bowker drew the sample, too many libraries were selected in several categories. Examination of the lists produced identified no geographic bias in the over-size lists. Over-size lists were reduced to required sample size by removing every nth library. The value of "n" for each list was determined from a random number table.

Table 3.

Distribution of Library Types in Bowker Mailing Lists,  
Including Sample Drawn and Number of Questionnaires Returned

Bowker Mailing List			Total Sample Drawn		Returned	
Type of Library	Total Population	Percent	Number	Percent	Number	Percent
Public	8,868	9.8%	74	11.6%	12	16.2%
College & University	1,652	1.8%	76	12.0%	26	34.2%
Junior College	1,097	1.2%	74	11.6%	24	32.4%
Public High School	16,365	18.1%	73	11.5%	9	12.3%
Public Junior High School	12,176	13.5%	78	12.2%	12	15.4%
Public Elementary School	42,491	47.0%	188	29.6%	16	8.0%
Special	7,647	8.5%	75	11.8%	17	22.7%
TOTAL	90,296	99.9%	398	100.3%	116	-

Not surprisingly, the sample drawn from the Bowker Lists included very few large libraries. In order to assure that current and potential uses of ISBN in large libraries would also be investigated, two additional sample populations were defined:

1. ARL Survey (28 libraries), which contained United States members of the Association of Research Libraries that are academic libraries and that had holdings of two million volumes or greater (26 libraries),<sup>1</sup> plus The New York Public Research Libraries, the National Library of Medicine, and the National Agricultural Library.
2. Large Public Survey (26 libraries), which included public libraries in United States cities with populations of 500,000 or greater reported in the 1970 census of the United States.

#### Questionnaire Design

The questionnaire used to elicit information about current and potential uses of ISBN in United States libraries is presented in Appendix I. The following outline guided the development of the questionnaire and may be used to categorize questions:

1. General information about Library
2. Acquisitions in Library
  - a. General information about acquisitions
  - b. ISBN Use in acquisitions
  - c. Outside factors relating to ISBN use in acquisitions

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<sup>1</sup> ARL Statistics 1974-75; A Compilation of Statistics from the Ninety-Nine Members of the Association of Research Libraries (Washington, D.C.: Association of Research Libraries, 1975), p. 19.

- d. Difficulties with ISBN use in acquisitions
- e. Suggested improvements for ISBN use in acquisitions
- 3. Cataloging in Library
  - a. General information about cataloging
  - b. ISBN use in cataloging
  - c. Outside factors relating to ISBN use in cataloging
  - d. Difficulties with ISBN use in cataloging
  - e. Suggested improvements for ISBN use in cataloging
- 4. Other technical processing of ISBN in Library
  - a. Other technical processing uses of ISBN
  - b. Suggested improvements for ISBN for other technical processing uses
- 5. Public service use of ISBN in Library
  - a. Public service uses of ISBN
  - b. Suggested improvements of ISBN for public service uses
- 6. Potential Uses of ISBN in Library
- 7. Suggestions for National Uses of ISBN
- 8. Suggestions for Regional or Network Uses of ISBN
- 9. Suggestions for Interlibrary Uses of ISBN

Most questions fall only one place in the outline, but several questions in cataloging fall in two places. Figure 1 shows the question assignment in the outline.

Care was taken in developing the questionnaire so that the coding would not suggest that ISBN use by libraries was preferred or not preferred. Multiple choice responses were provided only for questions concerning frequency of ISBN use; generally the choices "seldom or never," "if readily available," or "if at all possible" were provided. Questions of the type that probed for reasons for ISBN use or non-use, for suggestions for the improvement of ISBN, or for suggestions for national etc., use of ISBN were presented as open-ended questions so that respondents would not be limited to or prompted by the choices presented. Special care was also taken to insure that "ISBN" would not be confused

Figure 1

## Categories of Questions on Library Questionnaire

1. General Information About Library

- Q1. Name and Address of Institution; Name and Title of Respondent
- Q2. Type of Library
- Q3. Size of Library
- Q4. Number of Items Acquired in Most Recent Fiscal Year
- Q5. Number of Monographic Materials Acquired in Most Recent Fiscal Year
- Q6. Network Membership(s) of Library

2. Acquisitionsa. General Information About Acquisitions

- Q7. Languages of Current Monographic Acquisitions
- Q8. Estimated Percent of Current Monographic Acquisitions Containing ISBN
- Q9. Acquisitions Sources for Monographic Materials

b. ISBN Use in Acquisitions

- Q10a. General Practice for ISBN Use in Acquisitions
- Q10b. Probe for Reasons for Non-Use of ISBN in Acquisitions
- Q10c. Probe for Reasons for Use of ISBN in Acquisitions
- Q11. Facility to Search for Acquisitions by ISBN
- If able to search:
  - Q12a. System Used for Searching
  - Q12b. Usefulness of ISBN Search in Acquisitions
- If unable to search:
  - Q13a. Presumed Usefulness of ISBN Search in Acquisitions
  - Q13b. Probe for Reasons Why ISBN Search in Acquisitions Presumed Not Useful
  - Q13c. Probe for Reasons Why ISBN Search in Acquisitions Presumed Useful
  - Q15a. Other Acquisitions Uses
  - Q15b. Probe for Explanation of Other Acquisitions Uses

c. Outside Factors Relating to ISBN Use in Acquisitions

- Q8. Estimated Percent of Current Acquisitions Containing ISBN
- Q14a. Publisher/Jobber Use on Invoices and Packing Slips
- Q14b. Library Use of ISBN on Invoices or Packing Slips
- Q18a. Publisher Request to Use ISBN
- Q18b. Probe for Explanation of Publisher Request to Use ISBN
- Q19a. Jobber/Wholesaler Request to Use ISBN
- Q19b. Probe for Explanation of Jobber/Wholesaler Request to Use ISBN

d. Difficulties with ISBN Use in Acquisitions

- Q16a. Difficulties with ISBN Use in Acquisitions
- Q16b. Probe for Explanation of Difficulties with ISBN Use in Acquisitions

e. Suggested Improvement for ISBN Use in Acquisitions

- Q17a. Improvements for ISBN Use in Acquisitions
- Q17b. Probe for Explanation of Improvements for ISBN Use in Acquisitions

Figure 1, cont.

## Categories of Questions on Library Questionnaire

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- e. Suggested Improvements for ISBN Use in Cataloging
    - Q33a. Improvements for ISBN Use in Cataloging
    - Q33b. Probe for Explanation of Improvements for ISBN Use in Cataloging
  4. Other Technical Processing Uses of ISBN
    - a. Other Uses
      - Q35a. Other Technical Processing Uses
      - Q35b. Probe for Explanation of Other Technical Processing Uses
    - b. Suggested Improvements of ISBN for Other Technical Processing Uses
      - Q36. Suggestions for Improvement of ISBN for Other Technical Processing Uses
  5. ISBN Use in Public Services
    - a. Public Services Uses
      - Q37a. Public Services Uses of ISBN
      - Q37b. Probe for Explanation of Public Services Uses of ISBN
  6. Potential Uses of ISBN in Library
    - Q39. Potential Uses of ISBN in Library
  7. Suggestions for National Use of ISBN
    - Q40. Suggestions for National Use of ISBN
  8. Suggestions for Regional or Network Use of ISBN
    - Q41. Suggestions for Regional or Network Use of ISBN
  9. Suggestions for Interlibrary Use of ISBN
    - Q42. Suggestions for Interlibrary Use of ISBN



with "ISBD" (International Standard Bibliographic Description). In most instances, "International Standard Book Number" was used; "ISBN" was used sparingly.

A draft version of the questionnaire was reviewed formally by the ISBN Use Study Advisory Committee, and by two librarians in academic library technical processing and one school librarian.<sup>1</sup> The final questionnaire contained 42 numbered questions.<sup>2</sup> Its length and detail may be criticized; however, because little was known about ISBN use in libraries generally, the detail was preferred. Also, it was thought that suggestions for potential uses of ISBN might be conditioned by the amount and type of current use.

#### Distribution of the Questionnaire

On December 8, 1976, the questionnaire was mailed from Chicago, Illinois, to the library sample population. Mailing was in the letterhead envelope for the Committee for Coordination of National Bibliographic Control, and each envelope was marked "Attention--Library Director." Included in the mailing were a cover letter from Paul Lagueux on Committee letterhead (see Appendix I), the questionnaire (Appendix I), and an unstamped return envelope addressed to the Committee, attention Paul Lagueux.

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<sup>1</sup>The academic librarians reported no difficulties with the questionnaire, except that in Questions 18 and 21 where "estimates" were requested it was not clear that a "guess" was expected and acceptable. These librarians suggested it would require about 45 minutes to complete the questionnaire.

It was the view of the school librarian that ISBN is generally not used in school libraries, and therefore most school libraries would not respond. In addition, the school librarian believed that the length and detail of the questionnaire would adversely affect school library responses.

<sup>2</sup>Typed and printed it comprised 12 pages, printed on both sides.

Both the return envelope and the questionnaire were numbered. The cover letter requested return of questionnaires "as soon as possible, but no later than December 20, 1976."

#### Library Questionnaire Returns

Almost all libraries received questionnaires within two or three days of mailing. The first return arrived December 14, 1976. Most returns were received before December 20, 1976, although some arrived after that date. Questionnaires were forwarded by the Committee to Chicago where analysis of the returns was performed.

By January 13, 1977, 155 questionnaires had been returned. Of these, 130 questionnaires were usable for analysis.<sup>1</sup> As shown in Table 4, columns a-d, return rates were low for all libraries reached

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<sup>1</sup>The twenty-five questionnaires rejected for analysis were as follows:

#### Bowker Mailing List Sample:

- 2 libraries no longer existed
- 2 libraries received two questionnaires because of duplication between Bowker Mailing Lists
- 1 library acquired and cataloged no materials during most recently completed fiscal year
- 1 library cataloged no materials during most recently completed fiscal year
- 3 libraries reported that they did not have the time or staff to complete the questionnaire
- 14 libraries reported no ISBN use and/or described their libraries as inappropriate for the study.

#### ARL Sample Survey:

- 1 library reported that questionnaire had arrived at desk of library officer after deadline date

#### Large Public Survey:

- 1 library reported no ISBN use

With the exception of questionnaires from the two libraries that did not acquire and/or catalog any materials during the most recently completed fiscal year, all rejected questionnaires were returned blank or with very few questions answered.

Table 4

Distribution of Library Types in Bowker Mailing Lists,  
Compared to Library Defined Type on Returned Questionnaires

Type of Library	Bowker Mailing List				Defined by Respondent			
	Number Returned	Percent of Returns	Usable	Percent of Usable	Number Returned	Percent of Returns	Usable	Percent of Usable
	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
Public	12	10.3%	9	9.6%	13	11.2%	10	10.7%
University							6	6.5%
College	26	22.4%	24	25.8%	34	29.3%	26	28.0%
Junior College	24	20.7%	21	22.6%	21	18.1%	18	19.4%
Public High School	9	7.8%	8	8.6%	8	6.9%	6	6.5%
Public Junior High School	12	10.3%	9	9.6%	6	5.2%	6	6.5%
Public Elementary School	16	13.8%	10	10.7%	15	12.9%	10	10.7%
Special	17	14.7%	12	12.9%	9	7.8%	3	3.2%
Other	----	----	----	----	10	8.6%	8	8.6%
TOTAL	116	100.0%	93	99.8%	116	100.0%	93	100.2%

Table 5

Library Questionnaire Sample and Returns:  
ARL Survey Libraries

Sample Size ARL Survey	Returned		Usable	
	Number	Percent of Sample	Number	Percent of Sample
28	24	85.7%	23	82.1%

Table 6

Library Questionnaire Sample and Returns:  
Large Public Survey Libraries

Sample Size Large Public Survey	Returned		Usable	
	Number	Percent of Sample	Number	Percent of Sample
25	15	57.7%	14	53.8%

through the Bowker Lists. The highest return rates for these libraries were found in college and university libraries (22%) and junior college libraries (21%). The percentages of usable responses by Bowker-defined type of library were roughly equivalent to response rates. Both the ARL Survey (Table 5) and the Large Public Survey (Table 6) exhibited high response rates; 24 of 28 ARL Survey questionnaires were returned (86%), as were 15 of 26 Large Public Survey questionnaires (58%).

### Coding of Questionnaire Responses

One hundred thirty questionnaires are included in the analysis. Responses were coded<sup>1</sup> to permit data to be processed using the Statistical Package for the Social Sciences (SPSS).<sup>2</sup> In addition to questionnaire responses, two new variables were coded: "Sample" and "Use of OCLC." "Sample" coded each respondent by its category in the library

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<sup>1</sup>The following procedure was used for coding responses (or lack of responses). All questions were coded as respondent replied except

- a) Responses to Question 4 (Number of Items Acquired in Most Recently Completed Fiscal Year): This question was present only to insure that responses to Question 5 (Number of Monographic Items Acquired in Most Recently Completed Fiscal Year) would reflect only number of monographic acquisitions. Question 4 itself was not used in the analysis.
- b) All open-ended questions were coded for SPSS analysis as "response" or "no response." The variety of answers to each question required detailed coding that was later done manually.
- c) Questions for which response was required only if another question was answered or had been answered in a specific way were not coded as supplied by respondent if response was not appropriate.

<sup>2</sup>Norman H. Nie, et al., SPSS: Statistical Package for the Social Sciences, 2d ed. (New York: McGraw-Hill, 1975), 675 p. ISBN 0-07-046531-2.

William R. Klecka, Norman H. Nie, and C. Hadlai Hull, SPSS Primer: Statistical Package for the Social Sciences Primer (New York: McGraw-Hill, 1975), 134 pp. ISBN 0-07-035023-X.

survey: as ARL Survey, Large Public Survey, Bowker Probability Sample, or Bowker Non-probability Sample. "Use of OCLC" coded whether respondent was an OCLC user. Any respondent mentioning use of OCLC in any question was coded as an "OCLC user." Otherwise, the respondent was coded as "OCLC use undetermined." (It is unlikely that any questionnaires coded "OCLC use undetermined" are in fact questionnaires from OCLC members or users.)

One difficulty was identified in preliminary SFSS runs: a number of libraries responding to the Type of Library question (Library Questionnaire, question 1) described themselves as different library types than did the Bowker Mailing Lists (see Table 4, comparing columns a-d with e-h).<sup>2</sup> In addition, it was recognized that of the usable responses, the ARL Survey libraries accounted for 77% of the university libraries (20 of 26; cf. Appendix II, Table A), and that of usable responses the Large Public Survey accounted for 58% (14 of 24) of the public libraries. And, finally, in preliminary analysis it was noted that public schools of all types responded similarly to all questions and that each type had a low response rate.

<sup>1</sup>For example, some migration was found between types of schools, and also some migration occurred between college and university, and junior college libraries. Seven usable responses that the Bowker Mailing Lists described as special libraries were college or university libraries. The questionnaire category "other" identified eight usable libraries:

<u>Bowker List Type</u>	<u>Respondent-Defined Type</u>
1 Public	1 Association
2 Junior College	2 Technical Institutes
2 Public High School	1 High School/Public combined
	1 High School/Junior High/Elementary School combined
1 Public Junior High School	1 Consolidated School (no grades given)
1 Elementary	1 Professional Library for Teachers
1 Special	1 Other (museum library)

Consequently, seven types of libraries were defined for use in the analysis:

- ARL Survey Libraries<sup>1</sup>
- College and University Libraries
- Junior College Libraries
- Large Public Libraries<sup>2</sup>
- Public Libraries
- School Libraries
- Special Libraries

Each library in the questionnaire category "other" was transferred to its most appropriate category (see table 7).

The response rate for libraries defined in the "probability sample" from the Bowker Mailing Lists is too low to draw statistically reliable conclusions about the total library population. If there is a bias in these returns, it probably favors ISBN use.

The response rate for the ARL Survey libraries is sufficient to draw statistically reliable conclusions about the defined total population--ARL member libraries that are United States academic libraries holding two million volumes or more.

The response rate for the Large Public Survey is marginally sufficient to draw statistically reliable conclusions about the defined total population--public libraries in cities with population over 500,000 in the 1970 census.

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<sup>1</sup>Includes only libraries defined for ARL Survey sample population. Does not include any ARL members reached through Bowker Mailing Lists.

<sup>2</sup>Includes only libraries defined for Large Public Survey sample population.

Table 7

Types of Libraries Defined for Analysis  
of Library Questionnaires  
N = 130

Type of Library As Reassigned	Absolute Frequency Number	Relative Frequency Percent	Adjusted Frequency Percent	Cumulative Frequency Percent
1. ARL Survey	23	17.7%	17.7%	17.7%
2. College & University	32	24.6%	24.6%	42.3%
3. Junior College	20	15.4%	15.4%	57.7%
4. Large Public Survey	14	10.8%	10.8%	68.5%
5. Public Libraries	12	9.2%	9.2%	77.7%
6. School Libraries	24	18.5%	18.5%	96.2%
7. Special	5	3.8%	3.8%	100.0%
TOTAL	130	100.0%	100.0%	

## Analysis of Questionnaire Responses

### ISBN Use in Acquisitions

#### General

One hundred thirty libraries responded to a question inquiring about the use of ISBN on order forms. Sixty-two percent (81 of 130) reported that they "seldom or never" include ISBN on order forms, and 38% (49 of 130) stated that they include ISBN "only if readily available" or "if at all possible" (Appendix II, Table J).

Libraries cited a variety of reasons for "seldom or never" using ISBN (Table 8). Most often mentioned were variations of two reasons:

1. ISBN is not required or requested by vendors;
2. ISBN is not considered necessary or useful in the library's ordering procedures.

Similarly, libraries including ISBN on order forms "if readily available" or "if at all possible" cited a variety of reasons for their practices (Table 9). 33 responses stated that ISBN serves to identify an ordered item precisely; 14 responses mentioned the use of ISBN in a computer system; and, interestingly, 12 responses reported that ISBN was used because it was thought to be useful to the vendor.

Several factors were investigated to determine their effect upon ISBN use in acquisitions. One, type of library, bears upon acquisitions use of ISBN. Greatest ISBN use in acquisitions is found among libraries in the ARL Survey (Table 10); 83% (19 of 23) of ARL



Table 8

Reasons Libraries Seldom or Never Include ISBN on Order or Processing Forms  
Analysis of Responses to Question 10.b -- Library Questionnaire

Reasons Libraries Seldom or Never Include ISBN on Order or Processing Forms	Type of Library							TOTAL
	ARL Survey	College-University	Junior College	Large Public	Public	School	Special	
A. Vendor does not require/has not requested	1	8	4	6	4	6	-	29
L. Unnecessary/not needed	-	4	4	-	1	11	2	22
J. Increases work load/adds cost	-	1	3	1	1	1	-	7
F. Currently no advantage to including	-	-	-	3	-	1	1	5
D. Used occasionally; other information uses regularly	1	2	-	2	-	-	-	5
H. Used only if asked and if available	-	2	2	-	1	-	-	5
M. Jobbers do not use or use another number	-	-	3	-	1	-	-	4
O. Not used by library in technical processing or ordering	-	1	1	-	1	1	-	4
E. Because of library size, it has not been needed	-	-	1	-	1	2	1	4
B. Not useful	1	1	-	-	1	1	-	4
P. High potential for error	-	4	-	-	-	-	-	4
Q. Need better/more ISBN information	-	2	-	-	-	-	1	3
T. Order using other information	-	-	-	1	-	3	-	4
S. Not part of system using now	-	-	-	2	-	1	-	3
I. Not enough space on order blank	-	-	1	-	-	-	-	1
C. Undependable; created errors	-	-	-	1	-	-	-	1
K. Other	-	1	2	-	-	2	-	5
TOTAL REASONS	3	26	21	16	11	29	4	110

TOTAL RESPONSES = 78 (Cf. Appendix II, Table K)

TOTAL REASONS = 110

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	45	16	2	2	65
ARL Survey	3	-	-	-	3
Large Public Survey	7	1	1	1	10
TOTAL	55	17	3	3	78

Table 9

Reasons Libraries Include ISBN if Readily Available or If At All Possible  
On Order or Processing Forms

Analysis of Responses to Question 10.6 -- Library Questionnaire

Reasons Libraries Include ISBN If Readily Available or If At All Possible On Order or Processing Forms	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
C. Identifies order item precisely	14	10	1	4	1	1	2	33
B. Useful to vendor	6	1	1	1	2	-	1	12
A. Speeds order fulfillment	4	3	2	-	-	-	-	9
F. Computer system uses	6	4	-	3	1	-	-	14
J. Potentially useful information	4	-	-	3	-	-	-	7
D. Jobber has requested/requested on order form	1	-	-	-	1	2	1	5
K. Publisher prefix useful	4	-	-	-	-	-	-	4
I. Useful in communication	1	1	-	-	-	-	-	2
H. Required by contract	-	-	-	-	-	1	-	1
E. Used for LC card ordering	-	1	-	-	-	-	-	1
G. Required for ISBN cataloging	-	1	-	-	-	-	-	1
TOTAL REASONS	40	21	4	11	5	4	4	89

TOTAL RESPONSES = 47 (Cf. Appendix II, Table L)

TOTAL REASONS = 89

Sample Population	Reasons per Response						Total
	One	Two	Three	Four	Five	Six	
Bowker Mailing Lists	16	7	1	-	1	-	25
ARL Survey	3	11	3	-	-	1	18
Large Public Survey	1	2	-	-	-	1	4
TOTAL	20	20	4	-	1	2	47

Table 10

Type of Library by ISBN Use on Order/Processing Forms for Monographic Materials

Type of Library	ISBN Use on Order/Processing Forms for Monographic Materials						
	ISBN "Seldom or never included"		ISBN included "Only if readily available"		ISBN included "If at all possible"		Total
	Number	Percent	Number	Percent	Number	Percent	
ARL Survey	4	17.4%	17	73.9%	2	8.7%	23
College-University	20	62.5%	8	25.0%	4	12.5%	32
Junior College	15	75.0%	4	20.0%	1	5.0%	20
Large Public Survey	10	71.4%	3	21.4%	1	7.1%	14
Public	8	66.7%	4	33.3%	0	0.0%	12
School	21	87.5%	3	12.5%	0	0.0%	24
Special	3	60.0%	1	20.0%	1	20.0%	5
Total	81	62.3%	40	30.8%	9	6.9%	130

Table 11

OCLC Use by ISBN Use on Order/Processing Forms for Monographic Materials

OCLC Use	ISBN Use on Order/Processing Forms for Monographic Materials						
	ISBN "Seldom or never included"		ISBN included "Only if readily available"		ISBN included "If at all possible"		Total
	Number	Percent	Number	Percent	Number	Percent	
Non-users	67	69.1%	23	23.7%	7	7.2%	97
Users	14	42.4%	17	51.5%	2	6.1%	33
Total	81	62.3%	40	30.8%	9	6.9%	130

Survey libraries report using ISBN on order forms when the ISBN is "readily available" or "if at all possible." In contrast, ISBN use on order forms by other types of libraries is considerably less, ranging from 13% (3 of 24) for school libraries to 38% (12 of 32) for college and university libraries.

Within each type of library, factors such as size of library, number of monographic items acquired, percent acquisitions which include ISBN, and source of acquisitions, are unrelated to use of ISBN in acquisitions. As well, percent of acquisitions in English Language is also unrelated. Seventy-seven percent of respondents (97 of 126, Appendix II, Table E) are acquiring over 90% English language materials, and 68% (69 of 101; Appendix II, Table F) estimate that over 70% of acquisitions include ISBN. While the majority of acquisitions are likely to include ISBN, the presence or absence of ISBN in monographic materials appears not to affect ISBN use.

A second factor, in addition to type of library, is related to the use of ISBN in acquisitions. This factor is membership in or use of the Ohio College Library Center (OCLC). While OCLC itself does not produce order forms, it does request that when users input data ISBN be included if it is readily available. This request appears to have encouraged OCLC users to include ISBN on order forms. Fifty-eight percent (19 of 33) of OCLC users include ISBN on order forms "if readily available" or "if at all possible," while only 31% (30 of 97) of non-OCLC users include ISBN (Table 11). To some extent, the effect of OCLC also

explains college and university use of ISBN in acquisitions: 56% of college and university libraries using OCLC (5 of 9) include ISBN on order forms, while 30% of college and university libraries not using OCLC (7 of 23) include ISBN on order forms.

Eleven respondents report having access to a system for searching local library orders by ISBN (Appendix II, Table M). When asked to name the system providing this access, 5 named OCLC, 1 named MARCFICHE, and 1 provided no response. Because OCLC and MARCFICHE contain cataloging data rather than local ordering information (and if used for local order search, the search would be indirect), only four systems were identified that provide direct access by ISBN to local order information (Appendix II, Table N).

ISBN search of local order records was rated as "useful" or "very useful" by 73% of respondents (9 of 11) (Appendix II, Table O).

In contrast, 63% (72 of 115) of those without facilities to search local orders by ISBN felt that such searches "would not be useful" (Appendix II, Table P). Most common reasons advanced for this lack of usefulness are that libraries believed their current systems to be adequate (23 responses); thought ISBN was not useful or necessary (17 responses); or believed that because of library size and/or number of acquisitions, ISBN was not necessary (18 responses) (cf. Table 12). Those who thought ISBN search of order records "would be useful" or "would be very useful" stated among other reasons that ISBN would be a unique number for bibliographic identification and verification (26 responses) (Table 13).

Table 12

Reasons Libraries Believe ISBN Access to Order or Processing Records Would Not Be Useful  
Analysis of Responses to Question 13.b -- Library Questionnaire

Reasons Libraries Believe ISBN Access To Order or Processing Records Would Not Be Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Current system is adequate	-	8	5	2	1	5	2	23
B. ISBN is not useful/not necessary	3	4	1	5	-	4	-	17
C. Because of library size/number of acquisitions, it has not been necessary	-	2	3	-	4	7	2	18
G. Easy to make errors with numbers	1	4	-	3	-	-	-	8
H. Often ISBN is not known	2	3	-	-	-	-	-	5
J. Some books have no ISBN	1	2	-	-	-	-	-	3
K. Increases work load/adds costs	-	-	1	-	1	2	-	4
D. Would require changing procedures	-	2	1	-	1	1	-	5
E. Would require changing computer system	-	2	-	-	-	-	-	2
F. In future might be useful	1	-	-	-	-	-	-	1
I. Other	-	-	1	-	-	2	-	3
TOTAL REASONS	8	27	12	10	7	21	4	89

TOTAL RESPONSES = 69 (Cf. Appendix II, Table Q)

TOTAL REASONS = 89

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	43	9	3	-	55
ARL Survey	3	1	1	-	5
Large Public Survey	7	2	-	-	9
TOTAL	53	12	4	-	69

Table 13

Reasons Libraries Believe ISBN Access to Order or Processing Records  
Would Be Useful or Would Be Very Useful  
Analysis of Responses to Question 13.c -- Library Questionnaire

Reasons Libraries Believe ISBN Access To Order or Processing Records Would Be Useful or Would Be Very Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
B. Unique number for bibliographic identification and verification	13	4	3	3	2	-	1	26
C. If computer access, then would be useful	3	2	3	2	2	1	-	13
A. General assistance in acquisitions procedures	2	2	-	-	1	2	-	7
D. If jobbers would use, then would be useful	-	-	-	1	1	1	-	3
F. To identify publishers	1	-	-	-	-	-	-	1
G. Other	-	1	1	-	-	2	-	4
TOTAL REASONS	19	9	7	6	6	6	1	54

TOTAL RESPONSES = 41 (Cf. Appendix II, Table R)

TOTAL REASONS = 54

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	15	7	-	-	22
ARL Survey	11	3	1	-	15
Large Public Survey	3	1	-	-	4
TOTAL	29	11	1	-	41

When asked about other uses of ISBN in acquisitions, 12 respondents (10%) reported other uses (Appendix II, Table U). Six use ISBN for order/receipt verification, six for computer searches, and three for publisher verification (Table 14).

Difficulties with ISBN in acquisitions were reported by 16 respondents (Appendix II, Table W). The most frequently cited difficulty is that the ISBN is incorrect or incomplete (Table 15). When asked what improvements were needed in ISBN for acquisitions use, 13 respondents wanted correct, consistent, and accurate use of ISBN encouraged (Table 16).

Few (12%; 15 of 129) respondents indicated that a publisher had requested use of ISBN on order forms or in correspondence (Appendix II, Table AA). Six publishers were identified by respondents; the only publisher mentioned more than once was Wiley (Table 17). More respondents (18%; 23 of 128) indicated that a jobber or wholesaler had requested use of ISBN (Appendix II, Table CC). Eight jobbers were identified; Baker & Taylor was named by 12 respondents, and Brodart and Taylor-Carlisle by two (Table 18).

Only six (5%) respondents reported that ISBN is generally included on packing slips or invoices received from vendors (Appendix II, Table S), and but three respondents used ISBN on packing slips and invoices to check in receipts (Appendix II, Table T).



Table 14

Explanation of Other ISBN Uses in Acquisitions  
 Analysis of Responses to Question 15.b -- Library Questionnaire

Explanation of Other ISBN Uses In Acquisitions	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Order/receipt verification	4	-	-	1	-	1	-	6
B. Computer system search	5	-	-	1	-	-	-	6
C. Publisher identification	3	-	-	-	-	-	-	3
TOTAL USES	12	-	-	2	-	1	-	15

TOTAL RESPONSES = 12 (Cf. Appendix II, Table V)

TOTAL REASONS = 15

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	1	-	-	-	1
ARL Survey	6	3	-	-	9
Large Public Survey	2	-	-	-	2
TOTAL	9	3	-	-	12

Table 15.

Explanation of Difficulties with ISBN Use in Acquisitions  
 Analysis of Responses to Question 16.b -- Library Questionnaire

Explanation of Difficulties With ISBN Use In Acquisitions	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. ISBNs often incorrect or incomplete	10	2	-	1	-	-	-	13
D. Library makes errors when using	2	-	-	1	-	-	-	3
B. Book orders get confused	1	1	-	1	-	-	-	3
E. Multiple numbers in item create problems	1	-	-	1	-	-	-	2
C. Creates problems for catalog card ordering	-	-	1	-	-	-	-	1
F. Other	-	-	-	1	-	-	-	1
TOTAL DIFFICULTIES	14	3	1	5	-	-	-	23

TOTAL RESPONSES = 14 (Cf. Appendix II, Table X)

TOTAL REASONS = 23

Sample Population	Reasons per Response					Total
	One	Two	Three	Four	Five	
Bowker Mailing Lists	4	-	-	-	-	4
ARL Survey	5	2	-	-	1	8
Large Public Survey	1	-	-	1	-	2
TOTAL	10	2	-	1	1	14

Table 16

Suggestions for Improvement of ISBN for Acquisitions Use  
 Analysis of Responses to Question 17.b -- Library Questionnaire

Suggestions for Improvement of ISBN For Acquisitions Use	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
B. Encourage correct/consistent/ accurate use	9	-	1	1	-	-	-	11
A. Encourage wider use	4	1	2	2	-	-	-	9
D. Publish lists of publishers identified by ISBN	7	-	-	-	-	-	-	7
C. Publish ISBN in all blurbs, announcements, etc.	3	2	-	-	-	1	-	6
E. Clarify policies for assignment of more than one ISBN to items	-	2	-	-	-	-	-	2
G. Change the numbering system used	-	1	1	-	-	-	-	2
F. Integrate ISBN with Library of Congress Card Number	-	-	-	-	1	-	-	1
H. Other	-	-	-	5	1	-	-	6
TOTAL SUGGESTIONS	23	6	4	10	2	1	-	46

TOTAL RESPONSES = 26 (Cf. Appendix II, Table 2)

TOTAL REASONS = 46

Sample Population	Reasons per Response					Total
	One	Two	Three	Four	Nine	
Bowker Mailing List	9	1	-	-	-	10
ARL Survey	5	6	2	-	-	13
Large Public Survey	1	1	-	-	1	3
TOTAL	15	8	2	-	1	26

Table 17

Publishers That Have Requested ISBN Use on Order Forms or in Correspondence  
 Analysis of Responses to Question 18.b -- Library Questionnaire

Publishers That Have Requested ISBN Use on Order Forms or in Correspondence	Type of Library							
	ARL Survey	College-University	Junior College	Large Public	Public	School	Spec	
A. Wiley	1		2	-	-	-	-	3
B. Bound To Stay Bound	-		-	-	-	-	1	1
C. McGraw	-		-	-	-	-	-	1
F. Arco	1	-	-	-	-	-	-	1
G. Prentice Hall	1	-	-	-	-	-	-	1
H. Holt-Rinehart-Winston	1	-	-	-	-	-	-	1
D. Has been suggested but do not recall names of publishers	1	-	1	-	-	-	1	3
I. Suggested in brochures	1	-	-	-	-	-	-	1
2. Other	1	-	-	-	-	-	-	1
TOTAL PUBLISHERS	7	1	3	-	-	-	2	13

TOTAL RESPONSES = 11 (Cf. Appendix II, Table 8B)

TOTAL REASONS = 13

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	7	-	-	-	7
ARL Survey	2	-	-	-	2
Large Public Survey	1	-	1	-	2
TOTAL	10	-	1	-	11

Table 18

Jobbers or Wholesalers That Have Requested ISBN Use On Order Forms or In Correspondence  
 Analysis of Responses to Question 19.b -- Library Questionnaire

Jobbers or Wholesalers That Have Requested ISBN Use On Order Forms or In Correspondence	Type of Library							TOTAL
	ARL Survey	College-University	Junior College	Large Public	Public	School	Special	
A. Baker & Taylor	2	4	1	2	3	2	-	11
B. Bro-Dart	1	-	1	-	-	-	-	2
C. Jostens	-	-	-	-	-	1	-	1
D. Research Books	-	-	-	-	-	-	1	1
E. Ballen International	1	-	-	-	-	-	-	1
F. Taylor-Carlisle	2	-	-	-	-	-	-	2
G. Yankee Book Peddler	1	-	-	-	-	-	-	1
J. Coult's Library Services	1	-	-	-	-	-	-	1
H. Has been suggested but do not recall name of jobber/wholesaler	4	-	-	-	-	-	2	5
TOTAL JOBBERS/WHOLESALEERS	12	4	2	2	-	3	2	25

TOTAL RESPONSES = 21 (Cf. Appendix II, Table DD)

TOTAL REASONS = 26

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	11	-	-	-	11
ARL Survey	2	-	1	-	3
Large Public Survey	2	-	-	-	2
TOTAL	15	2	1	-	18

## Conclusions

The responses to the acquisitions questions prompt the following conclusions about ISBN use in acquisitions:

1. Currently most respondent libraries, with the noted exception of those in the ARL Survey, do not use ISBN in acquisitions at all or use it very little.
2. Currently most respondent libraries, with the exception of those in the ARL Survey and those using machine systems (such as OCLC), do not see any advantages to using ISBN in acquisitions.
3. Respondent libraries report that few publishers and jobbers are encouraging the use of ISBN on orders or in correspondence.

## ISBN Use in Cataloging

### General

Four questions were asked in the library survey questionnaire pertaining to the use of ISBN in cataloging records: general practice in cataloging (Appendix II, Table EE); practice in original cataloging (Appendix II, Table GG); practice in non-original cataloging if source record includes ISBN (Appendix II, Table PP); and practice in non-original cataloging if source record does not include ISBN (Appendix II, Table TT).

As a general cataloging policy, 37% of respondents (47 of 128) (Appendix II, Table EE) indicated that ISBN was included on cataloging records "if readily available" or "if at all possible." This is the same percentage as is found for ISBN use on order forms (38%; Appendix II, Table J). In fact, ISBN use percentages for cataloging and for acquisitions were fairly consistent (Table 19). Forty six percent of respondents (59 of 128) "seldom or never" used ISBN in acquisitions or in cataloging; 20% (26 of 128) used ISBN in both; and 34% (43 of 128) used ISBN for either acquisitions or cataloging, but not for both. Respondents in the last category were about equally divided: 11 respondents used ISBN in cataloging but not in acquisitions, and 22 used ISBN in cataloging but not in acquisitions.

As in acquisitions use of ISBN, cataloging use of ISBN is related to type of library and use of OCLC. Greater cataloging use

Table 19

ISBN Use on Order/Processing Forms for Monographic Materials  
by General Cataloging Practice for ISBN Use  
in Cataloging Monographic Materials

ISBN Use on Order/Processing Forms for Monographic Materials	General Cataloging Practice for ISBN Use in Cataloging Monographic Materials					
	ISBN Seldom or Never Included		ISBN Included If Readily Available or If At All Possible		Total	
	Number	Percent	Number	Percent	Num- ber	Per- cent
ISBN Seldom or Never Included	59	46.1%	21	16.4%	80	62.5%
ISBN Included If Readily Avail- able or If At All Possible	22	17.2%	26	20.3%	48	37.5%
TOTAL	81	63.3%	47	36.7%	128	100.0%

Table 20

Type of Library by General Cataloging Practice for ISBN Use  
in Cataloging of Monographic Materials

Type of Library	General Cataloging Practice for ISBN Use in Cataloging Monographic Materials							
	ISBN "Seldom or never included"		ISBN included "Only if readily available"		ISBN included "If at all possible"		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
ARL Survey	2	9.1%	20	90.9%	0	0.0%	22	
College-University	23	71.9%	9	25.0%	1	3.1%	32	
Junior College	13	68.4%	6	31.6%	0	0.0%	19	
Large Public Survey	8	57.1%	6	42.9%	0	0.0%	14	
Public	11	91.7%	1	8.3%	0	0.0%	12	
School	20	83.3%	4	16.7%	0	0.0%	24	
Special	4	80.0%	1	20.0%	0	0.0%	5	
Total	81	63.3%	46	35.9%	1	0.8%	128	



of ISBN is found among libraries in the ARL Survey (Table 20):

91% of ARL Survey libraries (20 of 22) report using ISBN in cataloging if "readily available" or "if at all possible." In contrast, cataloging use of ISBN by other types of libraries ranged from 43% of Large Public Survey libraries (6 of 14) to 8% of public libraries (1 of 11).

Similarly, ISBN use in cataloging is considerably greater when the library is an OCLC user (Table 21). Sixty-seven percent of OCLC users (22 of 33) include ISBN in cataloging records "if readily available" or "if at all possible;" for non-OCLC users, the comparable figure is 16% (15 of 96).

The affect of OCLC upon ISBN use in cataloging can be seen in Table 22. Within each type of library, users of OCLC are more likely to use ISBN in cataloging than are non-users of OCLC.

Factors such as source of cataloging data (Library of Congress, Cataloging in Publication, etc.), percentage of original cataloging, and percentage of non-original cataloging estimated to contain ISBN appear unrelated to the use or non-use of ISBN in cataloging.<sup>1</sup>

When asked to characterize ISBN use in original cataloging, 30% of respondents (36 of 128; Appendix II, Table GG) stated that ISBN was included on cataloging records "if readily available" or "if at all possible." Those respondents generally cited one of two reasons (Table 23):

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<sup>1</sup>Because percentage data were quite diffuse, no patterns emerged. It is possible, however, that some relationships exist between ISBN use and these factors.

Table 21

OCLC Use by General Cataloging Practice for ISBN Use in  
Cataloging Monographic Materials

OCLC Use	General Cataloging Practice for ISBN Use in Cataloging Monographic Materials						
	ISBN "Seldom or never included"		ISBN included "Only if readily available"		ISBN Included "If at all possible"		Total
	Number	Percent	Number	Percent	Number	Percent	
Non-users	70	73.7%	24	25.3%	1	1.1%	95
Users	11	33.3%	22	66.7%	0	0.0%	33
Total	81	63.3%	46	35.9%	1	0.8%	128

Table 22

Percentage of OCLC Users and Non-users Who Use ISBN in Cataloging  
"If Readily Available" or "If At All Possible"

N = 47

Type of Library	Use of ISBN in Cataloging "If Readily available" or "If At All Possible"					
	OCLC Users		OCLC Non-users		Total	
	Number	Percent	Number	Percent	Number	Percent
ARI Survey	13	92.9	7	87.5	20	90.9
College/University	3	33.3	6	26.0	9	28.1
Junior college	2	100.0	4	23.9	6	31.6
Large Public Survey	4	37.1	2	28.6	6	42.9
Public	0	0.0	1	9.1	1	8.3
School	-	-	4	16.7	4	16.7
Special	-	-	1	20.0	1	20.0

<sup>a</sup> The table above should be read as follows: Among the ARL Survey libraries, 92.9% of the OCLC users stated that they used ISBN in cataloging "if readily available" or "if at all possible;" 87.5% of the OCLC non-users in the ARL Survey stated that they used ISBN in cataloging "if readily available" or "if at all possible;" and 90.0% of all ARL Survey libraries stated that they used ISBN in cataloging "if readily available" or "if at all possible."

Table 23

Reasons Libraries Include ISBN If Readily Available or If At All Possible  
In Original Cataloging

Analysis of Responses to Question 22.c -- Library Questionnaire

Reasons Libraries Include ISBN If Readily Available or If At All Possible In Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
*A. OCLC requires/to make OCLC record as complete as possible	5	3	1	1	-	-	-	10
*B. Input for LCLC, not printed on cards produced by OCLC	3	-	-	-	-	-	-	3
*C. Input only for OCLC; local cata- loging not in OCLC does not include	1	-	-	1	-	-	-	2
D. Useful/useful for OCLC search	1	1	-	1	-	-	-	3
*E. To follow network standards	2	-	-	-	-	-	-	2
F. Easy for libraries using data base to search	2	-	-	-	-	-	-	2
G. Required element in MARC format	-	1	-	-	-	-	-	1
H. Follow MARC rev. Ch. 6	1	-	-	-	-	-	-	1
I. Follow ISBD(M)/ AACR rev. Ch. 6	5	3	-	2	-	-	-	10
J. Completeness of catalog record	-	1	-	-	-	-	-	1
U. Completeness of catalog record in data base	1	-	-	-	-	-	-	1
L. May prove useful in data base	2	-	-	-	-	-	-	2
K. May prove useful	2	2	-	1	-	1	-	6
M. Important/unique data base access	2	-	-	-	-	-	-	2
N. Assists in bibliographic identi- fication verification	-	1	1	-	-	-	-	2
O. May prove useful for acquisitions	1	-	-	-	-	-	-	1
P. May prove useful for interloa	1	-	-	-	-	-	-	1
Q. Some jobbers request orders by ISBN	-	-	-	1	-	-	-	1
R. Order using ISBN so also use in cataloging	-	-	-	-	-	1	-	1
T. To have ISBN available for reorders	-	-	1	-	-	-	-	1
S. No special reason	-	-	-	-	1	-	-	1
TOTAL REASONS	29	12	3	7	1	2	-	54

\*mutually exclusive categories.

TOTAL RESPONSES = 38 (Cf. Appendix II, Table II)

TOTAL REASONS = 54

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	8	5	-	-	13
ARL Survey	12	7	1	-	20
Large Public Survey	3	2	-	-	5
TOTAL	23	14	1	-	38

1. ISBN is required for OCLC input; or
2. International Standard Bibliographic Description (Monographs) or Anglo American Cataloging Rules, revised Chapter 6 requires ISBN.

In large measure those using ISBN "seldom or never" in original cataloging reported that ISBN was not useful/necessary, etc. (Table 24).

Library use of ISBN in non-original cataloging is somewhat complex. If a source record contains ISBN, 78% of respondents (90 of 115; Appendix II, Table PP) "sometimes keep" or "always keep" the ISBN in their local records. While this response is encouraging, it is offset by the report that 22% of respondents (25 of 115) "always delete" the ISBN from their local records when a source record contains ISBN. Those who "always keep" ISBN report doing so because it may prove useful, deleting it increases the workload or is costly, or there is no reason to delete it (Table 25). Those who "sometimes keep" ISBN retain it when they obtain catalog cards from vendors, but delete it when they produce catalog cards themselves from catalog copy obtained from outside sources (Table 26). Those who "always delete" ISBN generally do so because they believe it is not useful or necessary (Table 27).

When a source record does not include ISBN, only 18% of respondents (21 of 119; Appendix II, Table TT) add it to the cataloging record "if readily available." Those not adding ISBN to cataloging records generally feel it is not useful or necessary (Table 28). Those adding ISBN generally do so because it is required by OCLC or Anglo-American Cataloging Rules, revised Chapter 6 (Table 29).

Table 24

Reasons Libraries Seldom or Never Include ISBN in Original Cataloging  
Analysis of Responses to Question 22.b -- Library Questionnaire

Reasons Libraries Seldom or Never Include ISBN in Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Not useful/necessary/valuable/ essential; no reason	3	15	12	7	5	10	3	55
B. Increases work load/adds cost	-	2	2	1	1	3	-	9
C. Because of library size/type, it has not been necessary	-	1	3	-	-	3	1	8
D. Original cataloging is material (older/local/government document) without ISBN	-	1	1	-	1	-	-	3
E. Library does not use ISBN	-	1	-	-	1	2	-	4
F. Habit not to include ISBN	-	1	-	-	-	1	-	2
G. Library does simplified/brief cataloging	-	-	-	-	1	2	2	5
H. Accession number is best identifi- cation for library	-	-	-	-	1	1	-	2
I. ISBN not available for everything	-	1	-	-	-	-	-	1
J. Not needed to deal with jobbers, etc.	-	1	-	-	-	-	-	1
L. Policy does not call for including	-	1	-	-	-	-	-	1
M. No demand for retrieval by ISBN	-	1	-	-	-	-	-	1
N. Competent cataloger makes ISBN unnecessary	-	-	-	-	-	1	-	1
O. Did not realize it was necessary	-	-	-	-	-	1	-	1
P. If library were OCLC member, then would include	-	1	-	-	-	-	-	1
Q. ISBN not sent to library with catalog records	-	-	-	-	-	1	-	1
R. To save space on cards	-	-	-	1	-	-	1	2
S. Not necessary for effective cataloging	-	-	-	-	-	1	-	1
T. Easy to make mistakes with numbers	-	-	-	-	1	-	-	1
U. ISBN is "confusing" element on card	-	1	-	-	-	-	-	1
V. ISBN is available in OCLC record	-	1	-	-	-	-	-	1
W. ISBN not an access point in card catalog	-	1	-	-	-	-	-	1
X. "Space"	1	-	-	-	-	-	-	1
Y. Cost of storage	1	-	-	-	-	-	-	1
Z. Ignored for original cataloging though AACR, Ch. 6 requires	1	-	-	-	-	-	-	1
ZZ. May be found in other sources than catalog	-	-	-	1	-	-	-	1
ZA. Undependable; created errors in acquisitions system	-	-	-	1	-	-	-	1
TOTAL REASONS	6	29	18	11	11	26	7	108

TOTAL RESPONSES = 84 (Cf. Appendix II, Table HH)

TOTAL REASONS = 108

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Book. Mailing Lists	57	12	3	-	72
ARL Survey	1	1	1	-	3
Large Public Survey	7	1	1	-	9
TOTAL	65	14	5	-	84

Table 25

Reasons Libraries Always Keep ISBN From Source Record in Non-Original Cataloging  
Analysis of Responses to Question 24.d -- Library Questionnaire

Reasons Libraries Always Keep ISBN From Source Record in Non-Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
*A. OCLC requires/to use OCLC record as complete as possible	4	1	-	-	-	-	-	5
*B. Input for OCLC, not printed on cards produced by OCLC	-	1	2	2	-	-	-	5
*D. Used/useful for OCLC search	1	-	-	1	-	-	-	2
*E. To follow network standards	2	-	-	-	-	-	-	2
*F. Easy for libraries using data base to search	1	-	-	-	-	-	-	1
*I. Follow ISBD(M)/AACR rev. Ch. 6	6	1	-	-	-	-	-	7
*J. Completeness of catalog record	-	1	-	-	-	-	-	1
*U. Completeness of catalog record in data base	1	-	-	-	-	-	-	1
*L. May prove useful in data base	1	-	-	-	-	-	-	1
*K. May prove useful	3	4	1	1	1	2	1	13
*M. Important/unique data base access	1	-	-	-	-	-	-	1
*O. May prove useful for acquisitions	1	-	-	-	-	-	-	1
*P. May prove useful for interloan	1	-	-	-	-	-	-	1
*Q. Some jobbers request orders by ISBN	-	-	-	1	-	-	-	1
+AA. Increases work load/adds cost/waste of time to delete	2	7	2	3	2	2	1	19
+AB. No reason to delete	1	3	1	1	3	2	1	12
+AC. No reason	-	-	-	-	1	-	-	1
AD. Library accepts a cataloging data as it is, if it matches piece	-	2	-	-	-	-	-	2
AE. Library accepts LC data, modifying only to integrate into catalog	1	-	-	-	-	-	-	1
AF. Seldom delete anything from printed card	-	-	-	-	-	1	-	1
AG. Precise modification number, better LC card number	-	1	-	-	-	-	-	1
AH. If all cards, we do not remove	-	-	3	-	-	1	-	4
AI. Easier to leave than to remove	1	-	-	-	-	-	-	1
AJ. Deletes only if does not match ISBN in item; substitute ISBN in item	1	-	-	-	-	-	-	1
AK. Omitted only when space is problem when duplicating masters typed by library	1	-	-	-	-	-	-	1
TOTAL REASONS	29	21	9	10	7	8	3	87

\* Mutually exclusive categories.

+ Mutually exclusive categories.

\* Code and label identical with Table 23 (22.c responses)

TOTAL RESPONSES = 64 (Cf. Appendix II, Table 33)

TOTAL REASONS = 87

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	32	8	-	-	40
ARL Survey	11	6	2	-	19
Large Public Survey	4	3	-	-	7
TOTAL	47	17	2	-	66

94

Table 26

Reasons Libraries Sometimes Keep ISBN From Source Record in Non-Original Cataloging  
 Analysis of Responses to Question 24.c -- Library Questionnaire

Reasons Libraries Sometimes Keep ISBN From Source Record In Non-Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Kept on cards purchased from vendors; - cards locally produced. ISBN is not kept.		3	1	-	2	-	1	7
B. Kept on cards purchased from vendors; - network produced cards do not include		-	-	1	-	-	-	1
C. Input for OCLC; not printed on cards produced by OCLC	-	1	-	-	-	-	-	1
D. Kept on cards purchased from vendors; - additional cards typed are simplified	-	-	-	-	-	1	-	1
E. Delete if in 500 field; keep if in 020	1	-	-	-	-	-	-	1
F. Too difficult to remove from printed cards	-	-	-	-	-	1	-	1
G. Too much bother to delete	-	-	1	-	-	-	-	1
H. Kept is more effort required to delete than to keep	-	-	-	-	1	-	-	1
I. Always kept if printed on card	-	2	1	-	-	1	-	4
J. Automatically kept in data base if in MARC record	1	-	-	-	-	-	-	1
K. Depends upon availability of ISBN	-	1	-	-	-	-	-	1
TOTAL REASONS	2	7	1	1	3	3	1	20

TOTAL RESPONSES = 20 (Cf. Appendix II, Table RR)

TOTAL REASONS = 20

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	16	-	-	-	16
ARL Survey	2	-	-	-	2
Large Public Survey	2	-	-	-	2
TOTAL	20	-	-	-	20

Table 27

Reasons Libraries Always Delete ISBN From Source Record in Non-Original Cataloging  
Analysis of Responses to Question 24.b -- Library Questionnaire

Reasons Libraries Always Delete ISBN From Source Record In Non-Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Not useful/necessary/valuable/essential; no reason	-	4	5	2	-	3	-	14
B. Not useful because not computerized	-	1	-	-	-	-	-	1
C. Increases work load/adds cost	-	-	-	2	-	-	-	2
D. Because of library size/type	-	-	-	-	-	2	-	2
E. Would confuse student typists	-	-	-	-	-	-	-	1
F. Undependable; created errors in acquisition system	-	-	-	1	-	-	-	1
G. Library does simplified/brief cataloging	-	-	-	1	-	-	-	1
H. ISBN is "confusing" element on card	-	-	-	-	-	-	-	1
I. Library does not use ISBN	-	-	-	-	-	-	-	1
J. To save space on cards	-	-	-	-	1	-	-	1
K. ISBN is available in OCLC record	-	-	-	-	1	-	-	1
L. Sufficient bibliographic identification without ISBN	-	1	-	-	-	-	-	1
M. ISBN used only as acquisitions aid	-	2	-	-	-	-	-	2
N. Other	-	-	-	-	-	1	-	1
TOTAL REASONS	-	10	7	6	2	6	-	31

TOTAL RESPONSES = 24 (Cf. Appendix II, Table 20)

TOTAL REASONS = 31

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	15	5	-	-	20
ARL Survey	-	-	-	-	-
Large Public Survey	3	-	1	-	4
TOTAL	18	5	1	-	24



Table 28

## Reasons Libraries Seldom or Never Add ISBN to Source Record in Non-Original Cataloging

## Analysis of Responses to Question 25.b -- Library Questionnaire

Reasons Libraries Seldom or Never Add ISBN To Source Record In Non-Original Cataloging	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
*A. Not useful/necessary/valuable/ essential; no reason	5	11	7	4	5	6	-	38
XJ. Currently not useful/not necessary	1	3	5	-	1	1	-	11
A1. "Author, title, publisher -- these tell me something -- a line of numbers does not."	-	-	-	-	-	1	-	1
A2. Usefulness of ISBN not clear	1	-	-	1	-	-	-	2
XA. "Never used"	-	-	-	-	1	-	-	1
XB. ISBN not used as primary identi- fication source.	-	-	-	-	1	-	-	1
XD. No reason to add unused information to catalog record	-	1	1	-	1	-	-	3
XE. Have not used in past, therefore we do not include currently	-	1	-	-	-	-	-	1
XF. Item identified sufficiently without ISBN	-	1	-	-	-	-	-	1
XH. Serves no useful purpose in accessing materials by library users/not of enough use to our patrons	-	2	1	-	-	-	-	3
XI. If source record and book do not include, probably will not be readily available	-	1	-	1	-	-	-	2
*B. Increases work load/adds cost	5	4	1	1	1	3	1	16
B1. "A buildings, 1700 students, 17,000 books, 1 librarian:	-	-	-	-	-	1	-	1
XK. Majority of cards come with ISBN; add from book or review if not present	-	-	-	-	-	1	-	1
XL. Do not bother to do it	-	-	-	-	-	1	-	1
XN. Kept on purchased cards; library does not add to cards it prepared	-	-	-	-	-	-	1	1
XO. Modify existing records as little as possible	1	-	-	-	-	-	-	1
*C. Because of library size/type, it has not been necessary	-	1	1	-	-	2	-	4
*E. Library does not use ISBN	-	1	4	1	1	2	1	10
*I. ISBN not available for everything	1	-	-	-	-	-	-	1
*L. Policy does not call for including	-	1	-	-	-	-	-	1
P1. Cannot add to OCLC data base	1	-	-	-	-	-	-	1
P2. Add only to OCLC data base	-	-	-	1	-	-	-	1
*Q. ISBN not sent to library with catalog records	3	1	-	1	-	-	-	5
*R. To save space on cards	-	-	-	1	-	-	-	1
*U. ISBN is "confusing" element on card	-	1	-	-	-	-	-	1
*V. ISBN is available in OCLC record	-	1	-	-	-	-	-	1
*W. ISBN not an access point in card catalog	1	1	-	-	-	-	-	2
XC. Another possibility for error	-	-	-	-	1	-	-	1
XG. Used only in ordering/used only in acquisitions for complicated orders	-	2	1	-	-	-	-	3
XV. Used in ordering for verification	1	-	-	-	-	-	-	1
TOTAL REASONS	20	33	21	9	12	18	3	117

TOTAL RESPONSES = 91 (Cf. Appendix II, Table UU)  
TOTAL REASONS = 117

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Booklet Mailing Lists	55	13	2	-	70
ARL Survey	5	6	1	-	12
Large Public Survey	7	2	-	-	9
TOTAL	67	21	3	-	91

Table 29

Reasons Libraries Add ISBN to Source Record in Non-Original Cataloging  
If Readily Available or If At All Possible

Analysis of Responses to Question 25.c -- Library Questionnaire

Reasons Libraries Add ISBN to Source Record In Non-Original Cataloging If Readily Available Or If At All Possible	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
*QA. OCLC requires/to make OCLC record as complete as possible	2	1	1	1	-	-	-	5
WD. Used/useful for OCLC search	1	-	-	1	-	-	-	2
*QE. To follow network standards	1	-	-	-	-	-	-	1
EF. Easy for libraries using data base to search	1	-	-	-	-	-	-	1
GI. Follow ISBD(M)/AACR rev. Ch. 6	3	1	-	1	-	-	-	5
QJ. Completeness of catalog record	-	1	-	-	-	-	-	1
QK. May prove useful	1	1	-	-	-	-	-	2
QL. May prove useful in data base	1	-	-	-	-	-	-	1
QM. Important/unique data base access	1	-	-	-	-	-	-	1
QO. May prove useful for acquisitions	1	-	-	-	-	-	-	1
QP. May prove useful for interloan	1	-	-	-	-	-	-	1
QQ. Some jobbers request orders by ISBN	-	-	-	1	-	-	-	1
AA. "Needed for full bibliographic description, but not econom- ically feasible to type onto already prepared catalog cards."	-	1	-	-	-	-	-	1
AB. Best single identifying number	-	1	-	-	-	-	-	1
AC. "Searching time not justified for Paraprofessional and Professional staff."	1	-	-	-	-	-	-	1
TOTAL REASONS	14	6	1	4	-	-	-	25

\* Mutually exclusive categories

@ Same as Table 23

TOTAL RESPONSES = 18 (Cf. Appendix II, Table VV)

TOTAL REASONS = 25

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	3	2	-	-	5
ARL Survey	7	2	1	-	10
Large Public Survey	2	1	-	-	3
TOTAL	12	5	1	-	18

Forty-two respondents (Appendix II, Table WW) indicate that they have the ability to search for catalog copy by ISBN. Of these, 33 use OCLC, five use MARCFICHE, and four use locally developed systems (Appendix II, Table XX). Asked to evaluate the usefulness of ISBN search for catalog copy, 90% (35 or 39; Appendix II, Table YY) said such search was "useful" or "very useful."

In contrast, 49% of the respondents who did not have the ability to search for catalog copy by ISBN (39 of 80; Appendix II, Table ZZ) indicated that a search capability "would not be useful." Those who felt ISBN search for catalog copy "would not be useful" felt that their current system was adequate or that ISBN access was not necessary (Table 30). Those respondents who thought ISBN search "would be useful" or "would be very useful" felt ISBN would provide an additional means of access to catalog copy, would be useful for bibliographic verification and identification, or would be a quick, simple method to search for catalog copy (Table 31).

Twenty respondents report that they can search for local catalog records by ISBN (Appendix II, Table CCC). Eighteen cite OCLC as the system used (Appendix II, Table DDD) and generally rate the search "useful" or "very useful." While OCLC provides ISBN search, it is not possible at present to access local catalog records through OCLC. The two respondents with locally-developed systems for searching local catalog records by ISBN rated the search capability as "very useful." (Cf. Appendix II, Table EEE.) Only 35% of the respondents without the ability to search for local catalog records by ISBN (37 of 106, Appen-

Table 30

Reasons Libraries Believe ISBN Access to Catalog Copy Would Not Be Useful  
Analysis of Responses to Question 28.b -- Library Questionnaire

Reasons Libraries Believe ISBN Access To Catalog Copy Would Not Be Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
*A. Current system is adequate	-	3	2	1	1	3	-	10
*B. ISBN is not useful/not necessary	-	-	1	1	-	3	-	5
*C. Because of library size/number of acquisitions, it has not been necessary	-	-	1	-	3	4	1	9
*G. Easy to make errors with numbers	1	2	-	-	-	-	-	3
*H. Often ISBN is not known	1	-	-	-	-	-	-	1
*H. Increases work load/adds costs	-	-	-	-	-	2	-	2
*O. Would require changing procedures	-	1	-	-	-	-	-	1
*F. In future might be useful	-	1	-	-	-	-	1	2
*I. Other	-	1	-	-	-	-	-	1
K. Author/title/series access is sufficient	1	1	-	1	-	-	-	3
L. LC card number access is sufficient	-	1	-	1	-	-	-	2
M. ISBN access would be of minimal benefit	-	-	1	-	-	-	-	1
N. Library does not use ISBN	-	-	-	-	-	1	-	1
O. OP purchases are pre cataloged	-	-	-	-	-	1	-	1
P. Non-print materials do not have ISBN	-	-	-	-	-	1	-	1
Q. Need more information about the value of ISBN	-	-	-	-	-	1	-	1
R. Library uses LC catalog copy	-	-	-	-	-	-	1	1
S. Library does not have computer terminal or tools to search by ISBN	-	2	-	-	-	-	-	1
T. If all libraries, jobbers, catalogers, would standardize, then would be useful	-	-	-	-	-	1	-	1
U. ISBN frequently incomplete	1	-	-	-	-	-	-	1
V. LC card number or local control number shorter, easier to use	1	-	-	-	-	-	-	1
W. Multiple ISBNs for one title; record will not be found if using one not in file	1	-	-	-	-	-	-	1
might be useful for foreign language, especially non-Roman alphabet	-	-	-	1	-	-	-	1
TOTAL REASONS	6	12	5	5	4	17	3	52

\*Same as Table 12.

TOTAL RESPONSES = 31 (Cf. Appendix II, Table AAA)

TOTAL REASONS = 52

Sample Population	Reasons per Response					
	One	Two	Three	Four	Five	Total
Bowker Mailing List	16	11	1	-	-	28
ARL Survey	-	-	-	-	1	1
Large Public Survey	1	-	-	1	-	2
TOTAL	17	11	1	1	1	31

Reasons Libraries Believe ISBN Access to Catalog Copy  
Would Be Useful or Would Be Very Useful  
Analysis of Responses to Question 28.c -- Library Questionnaire

Reasons Libraries Believe ISBN Access To Catalog Copy Would Be Useful or Would Be Very Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Useful for bibliographic identification and verification	-	-	2	1	1	1	1	6
B. Would void problems of choice/form of entry	-	1	1	-	-	-	-	2
C. Any additional access to catalog copy that would reduce necessity for original cataloging should be tried/would be helpful/would be useful	-	2	1	1	-	1	-	5
D. Would short cut searching, for original cataloging	-	-	1	-	-	-	-	1
E. Reliable	-	-	1	-	-	-	-	1
F. Provide access to hard to find items and perhaps more accurate access to all items	-	-	-	-	1	-	-	1
G. Would be shortest/surest/quickest access device; simplify search; speed up searches	1	1	2	1	-	-	-	5
H. Decrease time from receipt to shelf; quickly match cataloging data with item	-	-	1	-	1	-	-	2
I. Save time	-	-	1	-	-	-	-	1
J. Occasions when ISBN known and LC card number unknown	1	2	-	1	-	-	-	4
K. More precise identification number than LC	-	-	-	-	1	-	-	1
L. Especially for foreign books	2	-	-	-	-	-	-	2
X. When we have computer access, useful to search for vendor of foreign titles or for U.S. titles without CIP	1	-	-	-	-	-	-	1
M. Data base search/standardized entry into data base	1	-	2	-	1	-	-	4
N. Ease of access for untrained personnel	-	1	-	-	-	-	-	1
O. If computer access for orders, then would be useful	-	1	-	-	-	-	-	1
P. If go to OCLC, this would be a faster search entry	-	1	-	-	-	-	-	1
Q. If Universally used, would be a finding device	-	-	1	-	-	-	-	1
R. Probably useful if had a trained librarian, tho hand cataloging might still be preferred	-	-	-	-	-	-	1	1
S. Provided listed alphabetically by author and title, not numerically by ISBN	-	-	-	-	-	1	-	1
T. Check on status of order	-	-	-	-	1	-	-	1
U. If ever update our ordering system	-	-	-	-	-	1	-	1
V. If catalog by purchasing cards, it is necessary to use ISBN	-	-	-	-	-	1	-	1
W. Provide catalog copy not available through LC, and reduce orig. cat.	-	1	-	-	-	-	-	1
TOTAL REASONS	6	10	13	4	6	5	2	46

TOTAL RESPONSES = 39 (Cf. Appendix II, Table 08B)

TOTAL REASONS = 46

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	28	4	-	-	32
ARL Survey	2	2	-	-	4
Large Public Survey	2	1	-	-	3
TOTAL	32	7	-	-	39

dix II, Table FFF) thought that such a capability would be "useful" or "very useful." Generally, these respondents believed that ISBN would provide an additional access point for bibliographic identification and verification (Table 32). Those respondents feeling that access to local catalog records "would not be useful" generally felt that current systems and means of access to local catalog records were adequate (Table 33).

Five respondents indicate other uses of ISBN in cataloging (Appendix II, Table III). Generally, those respondents use ISBN for bibliographic identification or search (Table 34). One ARL Survey library with its own system remarked: "A Computer program searches incoming LC/MARC records against our machine-held data base on LC card number, ISBN, and author/title search codes to identify LC/MARC records already in our system. .... This system of automatic searching would be far less thorough and efficient without ISBNs."

Eighteen respondents noted difficulties with ISBN in cataloging (Appendix II, Table KKK). Many of these difficulties concerned duplicate numbers being assigned to different titles, inaccurate numbers, and lack of differentiation of editions (Table 35).

When asked whether improvements were needed for ISBN in cataloging, eighteen respondents said "yes" (Appendix II, Table MMM). Improvements suggested are better control over assignment of ISBNs by publishers, greater accuracy, and more widespread coverage (Table 36).

Table 32

Reasons Librarians Believe ISBN Access to Local Cataloging Records  
Would Be Useful or Would Be Very Useful  
Analysis of Responses to Question 31.c -- Library Questionnaire

Reasons Librarians Believe ISBN Access To Local Cataloging Records  Would Be Useful Or Would Be Very Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Identification/verification of bibliographic data	2	1	1	1	-	-	1	6
B. Help avoid undesired duplication/duplication of catalog records	1	1	1	-	-	-	-	3
C. Would avoid problems of choice/form of entry	1	2	-	-	-	-	-	3
D. Interlibrary cooperation where machine-readable data base; network access	-	2	2	-	1	1	-	6
E. Interlibrary loan	1	-	-	-	1	-	-	2
F. Quick access	-	-	1	-	-	-	-	1
G. Reliable	-	-	1	-	-	-	-	1
H. Standardization	-	1	-	-	-	-	-	1
I. Easier to use ISBN than other access points, e.g. call number	-	-	-	1	-	-	-	1
J. Faster search than author/title	-	-	-	1	-	-	-	1
K. Another access point generally useful	3	-	-	-	-	-	-	3
L. Easy access/checking	-	1	-	-	-	-	-	1
M. Only for recent holdings with ISBN	-	1	-	-	-	-	-	1
N. ISBN not available for all records in catalog	-	1	-	-	-	-	-	1
O. Easy to make errors with numbers	-	2	-	-	-	-	-	2
U. Multiple numbers may cause problems	-	-	-	1	-	-	-	1
P. Inventory to identify missing material (as shelflist)	-	1	-	-	-	-	-	1
Q. Acquisitions verification	2	-	-	-	-	-	-	2
R. If we ever change our ordering system	-	-	-	-	-	1	-	1
T. Other	-	1	-	-	-	-	-	1
TOTAL REASONS	10	14	6	4	2	2	1	39

TOTAL RESPONSES = 29 (Cf. Appendix II, Table HHH)

TOTAL REASONS = 39

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	15	3	-	1	19
ARL Survey	4	3	-	-	7
Large Public Survey	2	1	-	-	3
TOTAL	21	7	-	1	29

Table 33

Reasons Libraries Believe ISBN Access to Local Cataloging Records  
Would Not Be Useful

## Analysis of Responses to Question 11.b -- Library Questionnaire

Reasons Libraries Believe ISBN Access To Local Cataloging Records Would Not Be Useful	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Current system is adequate	2	-	1	1	-	1	-	5
B. Author/title/series/subject access is sufficient/useful; public catalog/shelflist provide sufficient access	1	2	2	1	-	1	-	7
C. Not useful in context of present operations	-	-	-	1	1	-	-	2
Cl. Because of library size/volume of cataloging, it has not been necessary	-	3	2	-	-	4	3	12
D. Have invested a great deal in bibliographies that use alpha- betical approach	-	1	-	-	-	-	-	1
D. ISBN search not useful/not necessary	2	5	3	1	2	2	-	15
Fl. No way to use it	-	1	-	-	-	-	-	1
G. Present records lack ISBN in too many cases	2	-	1	-	-	-	-	3
H. Not all titles/retrospective titles have ISBN	1	-	2	-	-	1	-	4
I. ISBN not always available	1	-	-	-	-	-	-	1
J. Users lack ISBNs	1	1	-	1	-	-	1	4
K. ISBNs frequently incomplete	1	-	-	-	-	-	-	1
L. Multiple ISBNs per item create problems	1	-	-	-	-	-	-	1
Ll. Number does not help resolve cataloging conflicts	1	-	-	-	-	-	-	1
M. Lack of bibliographic ISBN input	-	1	-	-	-	-	-	1
N. Added complications; can't see what would be gained except in network situation to disseminate catalog information to members	-	-	1	-	-	-	-	1
O. Too cumbersome	1	-	-	-	-	-	-	1
P. LC card number or local accession number easier to use	1	-	-	-	-	-	-	1
Pl. Prefer LC number	-	-	-	1	-	-	-	1
Q. Only if we change our whole filing system	-	1	-	-	-	-	-	1
Rl. Would mean new manual file	-	-	-	1	-	-	-	1
R. Until could program, another manual file would be necessary	1	-	-	-	-	-	-	1
S. Have no room for another file	-	1	-	-	-	-	-	1
T. Do not have tools to search ISBN or access to computer terminal	-	1	-	-	-	-	-	1
U. Increases work load/adds costs	-	1	1	-	-	1	-	3
V. If all libraries, jobbers, cata- logers would standardize, then ISBN would be useful for catalog copy	-	-	-	-	-	1	-	1
W. Call number would be more useful	-	-	1	-	-	-	-	1
X. Need more info. on value of ISBN	-	-	-	-	-	1	-	1
Y. In future might be useful	1	-	-	2	-	-	1	4
Z. Other	-	1	-	-	1	-	-	2
TOTAL REASONS	17	19	14	9	4	12	5	80

TOTAL RESPONSES = 57 (Cf. Appendix II, Table GGG)

TOTAL REASONS = 80

Sample Population	Reasons per Response					Total
	One	Two	Three	Four	Eight	
Bowker Mailing Lists	36	6	2	-	-	44
ARL Survey	3	3	-	-	1	7
Large Public Survey	4	1	1	-	-	6
TOTAL	43	10	3	-	1	57

104



Table 34

Explanation of Other Uses of ISBN in Cataloging  
 Complete Responses to Question 32.b -- Library Questionnaire

Library Survey Population	Explanation
Bowker Mailing Lists	"Used for searching LC card numbers - infrequently"
ARL Survey	<p>"A computer program searches incoming LC/MARC records against our machine-held data base on LC card number, ISBN, and author/title search codes to identify LC/MARC records for items already in our system. Records so identified are incorporated into our records if the data are needed. MARC records for items not already under control in our system are used for book selection (after further automatic weeding and sorting).</p> <p>This system of automatic searching would be far less thorough and efficient without ISBNs."</p>
ARL Survey	"Very limited used in identification."
Large Public Survey	"We think it will be useful in the future to distinguish different editions of the same book. LC may not always catalog new editions, but presumably the ISBN's will change."

TOTAL RESPONSES = 4 (Cf. Appendix II, Table JJJ)

TOTAL REASONS = 4

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	1	-	-	-	1
ARL Survey	2	-	-	-	2
Large Public Survey	1	-	-	-	1
TOTAL	4	-	-	-	4

Table 35

Explanation of Difficulties with ISBN Use in Cataloging  
Complete Responses to Question 33.b -- Library Questionnaire

Library Survey Population	Explanation of Difficulties in Cataloging
Bowker Mailing Lists	"What is happening with ISBN(S)?"
Bowker Mailing Lists	"Errors in number assigned -- at least, printed -- on books and/or bibliographic tools."
Bowker Mailing Lists	"We have found the same ISBN used in both the first and in later editions of the same book; also true for same book published by different publishers."
Bowker Mailing Lists	1) Using the ISBN as a search key, it is very easy to transpose, delete, or input incorrect number(s). 2) The ISBN in the books may not match the ISBN on the record."
Bowker Mailing Lists	"Placement of ISBN on printed catalog cards from jobber was unacceptable both to location and to size of print. Through correspondence from many librarians, the jobber has agreed to relocate number on bottom of card and to use a reduced type size."
ARL Survey	"Many inaccurate numbers."
ARL Survey	"Occasional application of same number to two different pieces."
ARL Survey	"Occasionally we find duplicate nos. for different titles and it makes us leary of depending on them solely."
ARL Survey	"Publishers are inconsistent in establishing separate ISBN's for various editions of the same work."
ARL Survey	"Occasional duplication of ISBN and occasional errors between what is listed on catalog record (OCLC record, LC card, etc.) and what is printed in the book or publisher's catalog."
ARL Survey	"Sometimes does not match MARC record."
ARL Survey	"Different editions not always accurately identified."
ARL Survey	"The ISBN as printed in the book is occasionally not correct."
ARL Survey	"In some cases the ISBN number has been incorrectly printed and retrieval is not possible."
ARL Survey	"The difficulties are not great, but a user searching a file on ISBN must always keep in mind that a number is specific to a particular physical edition, that there are separate numbers for sets and volumes in sets, and that publishers sometimes make mistakes in the ISBNs printed in their books. (Sometimes the same number is in two different books.)"
ARL Survey	"Some items have more than one ISBN number for the same edition and binding. Some occur in variant formats."
ARL Survey	"We formerly had an on-line edit to check on the accuracy of the check digit in ISBN's. With a higher degree of frequency than expected the check digit was found by the computer program to be in error. Our Assistant Director for Technical Services inquired about similar experience among colleagues. Few appeared to have encountered a high frequency of error. We have since dropped the check digit and input or accept ISBN as found."
ARL Survey	"Erroneous ISBN's, especially for different editions."

TOTAL RESPONSES = 18 (Cf. Appendix II, Table LLL)

TOTAL REASONS = 18

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	5	-	-	-	5
ARL Survey	13	-	-	-	13
Large Public Survey	-	-	-	-	-
TOTAL	18	-	-	-	18

Table 36

Suggestions for Improvement of ISBN for Cataloging Use  
 Analysis of Responses to Question 34.b -- Library Questionnaire

Suggestions For Improvement OF ISBN For Cataloging Use	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Encourage wider use	2	-	1	-	-	-	-	3
B. Include ISBN on reports, conferences, etc.	-	1	-	-	-	-	-	1
C. Encourage accuracy in use; use check digit	2	1	-	-	-	-	-	3
D. Encourage consistency in assignment	1	-	-	-	-	-	-	1
E. Make it truly unique, 1 number applying to 1 book	-	1	-	-	-	-	-	1
F. Make linkage between various ISBNs for the same title	-	-	-	1	-	-	-	1
G. Publishers should use cataloging guidelines for identifying editions	1	-	-	-	-	-	-	1
G1. Policy and guidelines for ISBN need to be clearer	1	-	-	-	-	-	-	1
H. Control assignment of ISBN the way ISSN is controlled	1	-	-	-	-	-	-	1
J. Publishers do not clearly identify pbk. or hardbound after number; also English and American editions should be identified	1	-	-	-	-	-	-	1
I. Helpful if pbk. and hardbound had same number except for tag on form of binding	1	-	-	-	-	-	-	1
K. Access to NUC records by ISBN	-	1	-	-	-	-	-	1
L. Be able to search for LC copy by ISBN	-	1	-	-	-	-	-	1
M. Like CIP, ISBN should be located in standard position in books	1	-	-	-	-	-	-	1
N. Establish trade standard for location at bottom of card and drop ISBN notation	-	-	-	-	-	1	-	1
O. Shorten number of digits	-	-	1	-	-	-	-	1
P. Include more alpha characters	-	-	1	-	-	-	-	1
TOTAL REASONS	11	5	5	1	-	1	-	23

TOTAL RESPONSES = 18 (Cf. Appendix II, Table NNN)

TOTAL REASONS = 23

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowler Mailing Lists	7	2	-	-	9
ARL Survey	5	3	-	-	8
Large Public Survey	1	-	-	-	1
TOTAL	13	5	-	-	18

## Conclusions

Responses to the cataloging questions prompt the following conclusions about ISBN use in cataloging:

1. Currently respondent library use of ISBN is passive use. That is, respondent libraries will accept source records that include ISBN, but generally do not include ISBN in original cataloging or add ISBN to source records that do not contain it.
2. Currently ARL Survey libraries and respondent libraries using OCLC appear to be the only libraries that are attempting to adhere to the Anglo-American Cataloging Rules that require ISBN as part of the basic cataloging record. (OCLC users may be responding primarily to OCLC requirements.)
3. Most respondent libraries, with the exception of those in the ARL Survey and those with machine systems (primarily OCLC), do not consider ISBN to be a necessary or useful element in cataloging or a useful method for catalog access.

### Other Uses of ISBN

Only four respondents indicate use of ISBN in technical services in ways other than those previously reported for acquisitions and cataloging (Appendix II, Table QOO). One uses ISBN for inter-library loan, one to identify publishers from the publisher part of the number, one for post-receipt searching, and one for title identification (Table 37). Few respondents felt that ISBN needs improvement for technical services uses (Appendix II, Table QQQ). Several noted that wider and more accurate coverage by publishers was needed (Table 38).

Five respondents report using ISBN in public services (Appendix II, Table RRR); four are OCLC users who occasionally utilize ISBN for interlibrary loan verification, or title verification or searching (Table 39). Given the low public service use, it is not surprising that only four respondents noted suggestions for improvements for public service use (Appendix II, Table TTT). One library commented: "The ISBN is too long and awkward an identification means for general public use. Its accuracy rate after several manual transpositions is lower than a standard classification number, LC number, or OCLC identification number." (Table 40).

When asked about the uses that the library might have for ISBN, 33 libraries replied, giving a wide variety of responses (Table 41). As might be expected, the most commonly mentioned local use was for acquisitions (10 responses; Table 41). A number of respondents also mentioned bibliographic verification.

Table 37

Explanation of Other Technical Processing Uses of ISBN  
Complete Responses to Question 35.b -- Library Questionnaire

Library Survey Population	Explanation of Other Technical Processing Uses
Bowker Mailing Lists	"Interlibrary loan service."
ARL survey	"Several book selectors report that they use the publishers code to identify a publisher when the bibliographic citation does not include publishers, but does include ISBN. This is a relatively minor use."
ARL Survey	"Occasionally used in post-receipt searching."
Large Public Survey	"We occasionally use them to help in identifying announced titles against published titles."

TOTAL RESPONSES = 4 (Cf. Appendix II, Table PPP)

TOTAL REASONS = 4

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	1	-	-	-	1
ARL Survey	2	-	-	-	2
Large Public Survey	1	-	-	-	1
TOTAL	4	-	-	-	4

Table 38

Improvements of ISBN Suggested for Other Technical Processing Uses  
Complete Responses to Question 36 -- Library Questionnaire

Library Survey Population	Improvements of ISBN Suggested
Bowker Mailing Lists	"By itself the number is nothing to libraries. It might have some useful role in a national, automated book ordering system, the acquisitions equivalent of OCLC."
Bowker Mailing Lists	"Suggest large jobbers be approached to include ISBN on invoice/packing slips. Perhaps LC could develop either/or access for card set purchase; patron could order by ISBN # instead of LC card order # alone."
Bowker Mailing Lists	"We have no suggestions. If this library were a part of a computer network, I feel sure we would have some suggestions."
Bowker Mailing Lists	"Interlibrary loan would be speeded up by this No."
Bowker Mailing Lists	"None -- at present (i.e., as long as library continues present level of growth."
ARL Survey	"Must become more nearly universal and more accurate."
ARL Survey	"Really question if logical application within Tech. Svcs. ISBN = yes, because one number does equate to one title with multiple parts. Shorter number, readily available on front cover.  ISBN = perhaps good for jobber/publisher transfer and on orders from Lib to either one but primarily as additional element to verify. Other uses in Tech. Svcs. seem better served by local numbers -- shorter, less chance for error -- or other elements such as title. Even if all titles had unique number, 13 characters to keep straight does not appear effective. We are in process of reworking account No.'s from 20 characters to two Alpha characters and let machine find larger number. This is not possible with ISBN. While potential is there, do not see it as practical."
ARL Survey	"Reliable assignment of numbers by publishers' that is, get rid of duplicate numbers."
ARL Survey	"If more publishers were encouraged to use ISBN, it would probably multiply its use in technical services. Perhaps more publicity about its use in England would foster the extension of ISBN's. As I understand it, the use of ISBN for book purchases has been very successful there."
ARL Survey	"Will probably use heavily in the RLC/LC project for searching the data base for copy."

TOTAL RESPONSES = 10 (Cf. Appendix II, Table QQQ)

TOTAL REASONS = 10

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	5	-	-	-	5
ARL Survey	5	-	-	-	5
Large Public Survey	-	-	-	-	-
TOTAL	10	-	-	-	10

Table 39

Public Services Use of ISBN  
Complete Responses to Question 37.b -- Library Questionnaire

Library Survey Population	Public Services Use of ISBN
Bowker Mailing Lists	"Used occasionally for verification of ILL requests through OCLC."
Bowker Mailing Lists	"Searching citations for ILL."
ARL Survey	"Infrequently uses to search for a title on the OCLC terminal."
ARL Survey	"Entered in our on-line CLSI circ record file."
APL Survey	"Used to call records from the on-line data base using a CRT located in Reference -- used only when no LC card number is available and when Author/Title or Title Search Code will not retrieve the record."

TOTAL RESPONSES = 5 (Cf. Appendix II, Table SSS)

TOTAL REASONS = 5

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	2	-	-	-	2
ARL Survey	3	-	-	-	3
Large Public Survey	-	-	-	-	-
TOTAL	5	-	-	-	5



Table 40

Improvements of ISBN Suggested for Public Service Use  
Complete Responses to Question 38 -- Library Questionnaire

Library Survey Population	Improvements of ISBN Suggested
Bowker Mailing Lists	"The ISBN is too long and awkward an identification means for general public use. Its accuracy rate after several manual transpositions is lower than a standard classification number, LC number, or OCLC identification number."
Bowker Mailing Lists	"Bibliographic purposes. Verifying a title."
Bowker Mailing Lists	"True, the # could be used by circulation of materials by computer! Excellent point."
ARL Survey	"Too long and cumbersome -- used only as a last resort when other means of access will not work for some reason."

TOTAL RESPONSES = 4 (Cf. Appendix II, Table TTT)

TOTAL REASONS = 4

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	3	-	-	-	3
ARL Survey	1	-	-	-	1
Large Public Survey	-	-	-	-	-
TOTAL	4	-	-	-	4

Suggested ISBN Uses for Library  
Analysis of Responses to Question 39 -- Library Questionnaire

Suggested ISBN Uses for Library	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Acquisitions/ordering	2	1	2	1	-	-	-	10
B. Computer tape and TELEX transmission of orders	1	-	-	-	-	-	-	1
C. Acquisitions, only if ISBN were more accurate/consistent/widely used	1	1	-	-	-	-	-	2
D. If we had a computerized ordering system	-	1	-	-	-	-	-	1
E. Interlibrary Loan	1	2	-	2	-	-	-	5
F. Identification/verification of bibliographic item/data	1	1	-	-	-	1	-	3
G. Identification/verification in data bank; searching parameter; use in searching data base	2	-	1	-	-	-	-	3
H. Access to catalog information	-	1	1	-	-	-	-	2
I. Union list	-	1	-	-	-	-	-	1
II. Automated circulation system	-	1	-	-	-	-	-	1
J. Cannot be used to full potential without computerization	-	1	-	1	-	-	-	2
K. When/if we are computerized	-	-	1	-	-	-	-	1
L. When we are computerized more use, meanwhile we don't discourage use	-	1	-	-	-	-	-	1
M. When we get an OCLC terminal, then cataloging use	-	1	-	-	-	-	-	1
N. Future use depends upon full utilization by publishers and jobbers. At the moment seems to be no inclination by them to use the number for stock control, etc. Unless this happens, the system will gradually disappear. A good idea but perhaps not of great value.	1	-	-	-	-	-	-	1
O. If publishers and jobbers delivered faster or offered some other incentive, we would use ISBN	-	1	-	-	-	-	-	1
P. Use instead of accession records	-	-	-	-	-	1	-	1
Q. If system shared books and films more easily it would be useful if school and public systems had same access as different catalogs can arrive at different Dewey, LC, etc.	-	-	-	-	-	1	-	1
R. No additional ISBN use necessary	-	-	1	-	-	-	-	1
S. Wide use in technical services now; no other uses imagined	1	-	-	-	-	-	-	1
T. Currently don't need ISBN access	1	1	-	-	-	-	-	2
U. How about LC numbers through 1979, then ISBN from 1980 on? Not both please for the same book	-	-	-	-	1	-	-	1
TOTAL REASONS	11	16	6	6	1	3	-	43

TOTAL RESPONSES = 33 (Cf. Appendix II, Table UUU)

TOTAL REASONS = 43

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	17	1	1	1	20
ARL Survey	9	1	-	-	10
Large Public Survey	1	1	1	-	3
TOTAL	27	3	2	1	33

Suggestions for national, regional, and interlibrary uses of ISBN were similar (Tables 42, 43, 44). In each instance, interlibrary loan was cited most frequently as a use for ISBN.

Table 42

107

Suggested National Uses for ISBN  
Analysis of Responses to Question 40 -- Library Questionnaire

Suggested National Uses For ISBN	Type of Library							TOTAL
	ALL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Interlibrary loan	2	2	2	1	-	1	-	8
C. Verification/identification of item	1	1	-	-	-	-	-	2
H. Access to order information	-	1	-	-	-	-	-	1
I. Access to cataloging information	-	1	1	-	-	-	-	2
K. Computer access would make more useful	-	-	-	-	-	1	-	1
N. Querying data bases easily	1	-	-	-	-	-	-	1
N2. Access point to national data base; searching parameter	2	-	-	-	-	-	-	2
P. Provide access to NUC via ISBN in addition to current access	-	-	1	-	-	-	-	1
Q. Trade bibliographies should be accessible by ISBN as well as title	-	1	-	-	-	-	-	1
R. ISBN index of in-print items in COM, updated monthly or more often	1	-	-	-	-	-	-	1
S. Need publisher directories indexed by ISBN	-	1	-	-	-	-	-	1
T. Publishers and jobbers should encourage library use of ISBN	-	1	-	-	-	-	-	1
U. Approach large jobbers to include ISBN on invoices/packing slips	-	-	1	-	-	-	-	1
V. More use by all vendors	-	-	-	1	-	-	-	1
W. If vendors delivered faster or offered some other incentive, would probably use	-	1	-	-	-	-	-	1
X. Put ISBN in everything copyright and encourage patrons to use it	-	-	1	-	-	-	-	1
Y. To be useful must appear on 100% of new titles published	1	-	-	-	-	-	-	1
Z. Apply to all government documents--City, federal, state	1	-	-	-	-	-	-	1
ZA. Develop a complementary number for older publications	1	-	-	-	-	-	-	1
ZB. Implement in other areas of world	1	-	-	-	-	-	-	1
Zc. Be able to order LC cards by ISBN	-	-	1	-	-	-	-	1
ZD. Bring together LC card no & ISBN	-	-	1	-	-	-	-	1
ZE. "Either use it nationally for all purposes--or not use at all."	-	-	-	-	-	1	-	1
ZF. "ISBN has great potential if adopted national (or internationally as a...standard for the identification of print and non-print materials."	-	-	-	-	-	1	-	1
ZG. "Nationally created machine records include ISBN for a set period of time (5 years or more) and if not fully utilized by publishers, libraries and bibliographers, it should then be dropped."	1	-	-	-	-	-	-	1
ZH. Want to see proof that ISBN is feasible for small-to-medium sized library	-	1	-	-	-	-	-	1
TOTAL SUGGESTIONS	12	10	8	2	-	4	-	36

TOTAL RESPONSES = 24 (CE. Appendix II, Table VVV)

TOTAL REASONS = 36

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	8	3	-	2	13
ARL Survey	7	1	1	-	9
Large Public Survey	2	-	-	-	2
TOTAL	17	4	1	2	24

Table 43

Suggested Regional or Network Uses of ISBN  
Analysis of Responses to Question 41 -- Library Questionnaire

Suggested Regional or Network Uses of ISBN	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Interlibrary loan	2	2	1	1	1	-	0	7
B. Union catalog	1	1	1	-	-	-	-	3
C. Verification/identification of item	2	1	-	-	-	-	-	3
H. Access to order information	-	1	-	-	-	-	-	1
I. Access to cataloging information; "cataloging bank"	-	1	1	-	-	-	-	2
J. Usefulness depends upon ISBN being readily available and more widely used	-	-	-	-	-	-	1	1
K. Computer access would help make useful	-	-	-	-	-	1	-	1
M. Not useful to a library inter- nally, but useful for inter- library	-	-	-	-	1	-	-	1
N. Querying data bases easily	1	-	-	-	-	-	-	1
P. Facilitate OCLC searching if all records contained ISBN	1	-	-	-	-	-	-	1
Q. Mandatory inclusion of ISBN for all types of monographic materials (OCLC user)	-	-	-	-	1	-	-	1
R. On-line searching	2	-	-	-	-	-	-	2
W. On-line searching, acquisitions, card ordering	-	1	-	-	-	-	-	1
S. "Might be basic number for whole network system"	-	-	1	-	-	-	-	1
T. Information retrieval	-	-	1	-	-	-	-	1
U. On a national basis record ISBN in machine records for future use by vendors and acquisitions systems	1	-	-	-	-	-	-	1
V. Disseminate cataloging infor- mation to network members	-	-	1	-	-	-	-	1
O. Other	-	-	1	-	-	1	-	1
TOTAL SUGGESTIONS	10	7	7	1	3	2	1	31

TOTAL RESPONSES = 21 (Cf. Appendix II, Table WW)

TOTAL REASONS = 31

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	7	3	1	1	12
ARL Survey	6	2	-	-	8
Large Public Survey	1	-	-	-	1
TOTAL	14	5	1	1	21

Table 44

Suggested Interlibrary Uses of ISBN  
Analysis of Responses to Question 42 -- Library Questionnaire

Suggested Interlibrary Uses of ISBN	Type of Library							TOTAL
	ARL Survey	College- University	Junior College	Large Public	Public	School	Special	
A. Interlibrary loan	5	2	2	1	2	-	-	12
B. Union catalog/union listings	-	-	1	-	-	-	-	1
C. Verification/identification of item	5	2	2	-	1	-	-	10
D. Additional verification element (do not see its use alone)	1	-	-	-	-	-	-	1
E. "Location by ISBN"	-	1	-	-	-	-	-	1
F. Choice of requesting by ISBN or by author and title	-	-	-	-	-	1	-	1
G. Intra-Library loan	-	-	-	1	-	-	-	1
H. Access to order information	-	1	-	-	-	-	-	1
I. Access to cataloging information; "cataloging bank"	-	1	1	-	-	-	-	2
J. Usefulness depends upon ISBN being readily available and more widely used	1	-	2	-	-	1	1	5
K. Computer access would help	-	-	-	-	-	1	-	1
M. Not useful to a library inter- nally, but useful for interlibrary	-	-	-	-	1	-	-	1
N. Querying data bases easily	1	-	-	-	-	-	-	1
O. Other	-	-	-	-	-	5	-	5
TOTAL SUGGESTIONS	13	7	8	2	4	8	1	43

TOTAL RESPONSES = 29 (Cf. Appendix II, Table XXX)

TOTAL REASONS = 43

Sample Population	Reasons per Response				Total
	One	Two	Three	Four	
Bowker Mailing Lists	13	4	1	1	19
ARL Survey	3	5	-	-	8
Large Public Survey	2	-	-	-	2
TOTAL	18	9	1	1	29

CHAPTER III  
QUESTIONNAIRE SURVEY OF LIBRARY SUPERVISORS  
OF LARGE URBAN SCHOOL SYSTEMS

Introduction

The library survey discussed in Chapter II of this report included responses from several types of United States libraries, including elementary, junior high, and senior high school libraries. Unlike other types of libraries, school libraries often are not independent entities but follow policies and practices established by the district school board or the library supervisor for the district. In order to determine the affect of district policies on ISBN use by school libraries, a separate survey was conducted of school library supervisors.

Defining the total population of school library supervisors is not possible. No current mailing list or other directory of library supervisors could be identified. Although it is possible to determine from U. S. Office of Education publications the names of school systems, there is no information about school library supervisors per se. Arbitrarily the survey of school library supervisors was limited to large urban school systems. For the purposes of the survey, "large urban school system" was defined as one in a United States city with population over 500,000 in the 1970 census. The Bowker School Library Supervisors Directory for 1968-69,<sup>1</sup> the most current information available, was

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<sup>1</sup>Arleane B. Garnett, ed., School Library Supervisors Directory, 3d ed., 1968-69 (New York: Bowker, 1968), 468 pp.

used to obtain the mailing address of the library supervisor for each city's school system. (Although the 1970 census identifies 26 cities with population over 500,000, only 25 questionnaires were mailed because the directory did not contain information for one city. When the directory reported that a city was covered by more than one school district, the district with the largest total library expenditure was chosen.)

The questionnaire used to elicit information about current and potential uses of ISBN in large urban school systems is presented in Appendix III. The questionnaire follows the pattern developed for the library questionnaire and was designed to gather information about district wide policies pertaining to ISBN use in acquisitions and cataloging, and to ascertain other uses and potential uses of ISBN in the school district. The questionnaire contained 12 questions.

On January 6, 1977, the questionnaire was mailed from Chicago, Illinois, to the school library supervisor sample population. Mailing was in a University of Chicago Library letterhead envelope. Included in the mailing were a cover letter from Helen F. Schmierer on University of Chicago Library letterhead (see Appendix III), the questionnaire (Appendix III), and a stamped return envelope. Each questionnaire was numbered. The cover letter requested return of questionnaires "as soon as possible, but no later than January 19, 1977."

Almost all school systems received questionnaires within two or three days of mailing. The first return arrived January 14, 1977, and By February 6, 1977, 18 questionnaires had been returned. Of these, 15



questionnaires were usable for analysis.<sup>1</sup> The 15 usable questionnaires were coded and processed manually. The questionnaire responses are summarized in Appendix IV. The response rate is marginally sufficient to draw statistically reliable conclusions about ISBN use by large urban school systems.

#### Analysis of Questionnaire Responses

Almost without exception, large urban school systems in the United States do not have policies pertaining to ISBN use in acquisitions or cataloging. Only one school system reported that it currently requires ISBN on order forms. It stated:

All titles included in the approved library books must have ISBN numbers. These numbers appear on the master list for the computer produced book lists. The numbers are included in the records of jobbers who have contracts to supply books to the public schools. Schools need list only ISBN numbers if they wish (not author and title) when ordering books on the approved library lists.

Another school system indicated that it was contemplating the adoption of a policy that would require ISBN on orders. It stated:

Secondary school libraries ... recently requested that all books lists which are sent to the schools by the library services section and/or the library textbook order section have an ISBN included as part of the order information.

Similarly, only one school system mentioned a district wide policy for ISBN use on cataloging records. In this system, processing is centralized for elementary schools in the district. The system reported using ISBN on master cataloging cards and stated that ISBN was

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<sup>1</sup>The three questionnaires rejected for analysis were as follows:

2 questionnaires were returned by the Post Office marked "addressee unknown."

1 questionnaire was returned blank with a note from the school library supervisor stating: "This questionnaire is not applicable to our regional school district."

"useful when checking prices to match the various editions." This school system, however, did not have a policy of including ISBN on order forms.

School library supervisors offered few comments or suggestions concerning potential uses of ISBN in their school systems or regional, national or network uses of ISBN. Several mentioned that there was a potential for ISBN use in their school acquisitions procedures, particularly if computerized ordering were introduced.

#### Conclusions

At the district level in large urban school systems, little or no ISBN use has been identified for acquisitions or cataloging. This finding is consistent with the results reported in Chapter II that show respondent school libraries to be making little use of ISBN.

CHAPTER IV  
QUESTIONNAIRE SURVEY OF VENDORS OF TECHNICAL PROCESSING  
SERVICES TO LIBRARIES

Introduction

Chapters II and III of this report discuss library uses of and attitudes toward ISBN. Because libraries use the services of technical processing vendors as a primary source of both materials and cataloging records, a survey of such vendors was undertaken to determine vendor policies and attitudes toward ISBN.

The sample population of vendors of technical processing services was identified from the September 1, 1976, issue of Library Journal.<sup>1</sup> To this list of 18 vendors were added three computerized library systems (Ohio College Library Center, Ballots, and Washington State) serving more than one library.

The questionnaire used to elicit information about vendor use of and attitudes toward ISBN is presented in Appendix V. The questionnaire follows the pattern developed for the library questionnaire and was designed to gather information about vendor use of ISBN in acquisitions and cataloging services, and to ascertain other uses and potential uses of ISBN. The questionnaire contained 17 numbered questions.

On January 6, 1977, the questionnaire was mailed from Chicago,

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<sup>1</sup>"LJ Annual Buyers' Guide, 1976," Library Journal, v. 101, no. 13 (Sept. 1, 1976): 1723-1755.

Illinois, to the vendor sample population. Mailing was in a University of Chicago letterhead envelope. Included in the mailing were a cover letter from Helen F. Schmierer on University of Chicago Library letterhead (see Appendix V), the questionnaire (Appendix V), and a stamped return envelope. Each questionnaire was numbered. The cover letter requested return of questionnaires "as soon as possible, but no later than January 19, 1977."

Almost all vendors received questionnaires within two or three days of mailing. The first return arrive January 14, 1977, and by February 6, 1977, nine questionnaires had been returned. Of these, eight questionnaires were usable for analysis. The eight usable questionnaires were coded and processed manually. The questionnaire responses are summarized in Appendix VI. The response rate for the vendor questionnaires is too low to draw statistically reliable conclusions about the vendor population.

#### Analysis of Questionnaire Responses

Eight usable responses were analyzed -- seven from commercial vendors and one from a computerized library system serving more than one library. All eight respondents indicated that they provide an acquisitions system for library customers (Appendix VI, Table A). However, only three reported that they encouraged their customers to include ISBN on order forms (Appendix VI, Table B), citing as reasons that customer use of ISBN assisted in confirmation of title, edition, or binding ordered (Appendix VI, Table D2). The five vendors for whom the use of ISBN

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The one questionnaire rejected for analysis was as follows: vendor reported that it provided neither an acquisitions service nor a cataloging records service for library customers.

on orders was of no concern stated that author/title information on orders was sufficient, that ISBN was not useful or necessary, or that their internal order fulfillment system did not provide for ISBN (Appendix VI, Table C2). Three vendors, one encouraging use of ISBN and two for whom ISBN was not a concern, added that because of the high error rate with ISBN, ISBN use alone (without other bibliographic information) was insufficient bibliographic information for order fulfillment (cf. Appendix VI, Tables C2, D2).

One respondent (a computerized library system serving more than one library) indicated that it included ISBN on invoices and/or packing slips (Appendix VI, Table E). The seven respondents who did not include ISBN on order invoices or packing slips reported that their procedures did not accommodate ISBN or that this information was not needed or required by customers (Appendix VI, Table G2).

Two respondents indicated that their customers could search the vendor data base for order information by ISBN (Appendix VI, Table H). One wrote: "If our customer sends a list of ISBNs, we can provide a computer-printed listing of author, title, publisher, bind, current list price, discount to that customer. This list will not include the ISBN but will include our eight digit internal number." (Italics added)

Three respondents indicated that their customers could order monographic materials by ISBN (Appendix VI, Table J), although one added that this method of ordering was not encouraged. Four vendors that did not support orders by ISBN indicated that extended author/title/publisher information was sufficient or preferred (Appendix VI, Table K). (The

eighth respondent is not a book vendor, but provides an order printing service for library customers.)

When asked if difficulties had been experienced in using ISBN for acquisitions purposes five vendors responded "Yes" (Appendix VI, Table L). The difficulties cited tended to be similar (Appendix VI, Table M2) and may be summarized by one vendor's explanation:

- 1) Inconsistencies in assignment of ISBN by publisher
- 2) Multiple ISBN on same book
- 3) Using same ISBN for later edition of same title
- 4) Advertising non-check-digitable ISBN in publisher's catalogs

When asked if improvements were needed for ISBN use in acquisitions, four respondents said "Yes" (Appendix VI, Table N); the improvements suggested were mainly requests for adherence to standards and rules concerning ISBN assignment (Appendix VI, Table O2).

Seven of the eight respondents reported that they provide a cataloging record distribution service to library customers (Appendix VI, Table P). Five respondents included ISBN in their cataloging data base when it is readily available (Appendix VI, Table Q), citing as reasons completeness of records, which are often based upon Library of Congress data, or anticipation of future use for ISBN (Appendix VI, Table S2). The two vendors including ISBN seldom or never cited cost of maintaining ISBN information and preference for Library of Congress card number, respectively (Appendix VI, Table R2). Three vendors report that ISBN is included on cataloging records sent to customers whenever it is readily available, and four vendors that ISBN is never

included in cataloging records sent to customers (Appendix VI, Table T).<sup>1</sup>

Two vendors reported that customers can search the vendor cataloging data base by ISBN (Appendix VI, Table V). Three vendors indicated that customers can order catalog records by ISBN (Appendix VI, Table W); those vendors not supplying catalog records by ISBN preferred other bibliographic information (e.g., author, title) or Library of Congress card number on orders for catalog records (Appendix VI, Table X).

Four vendors reported difficulties with ISBN use in cataloging (Appendix VI, Table Z) and tended to cite the same difficulties previously mentioned with ISBN use in acquisitions (Appendix VI, Table Z2). Three vendors also saw the need to improve ISBN for cataloging purposes (Appendix VI, Table BB) and requested correct ISBN assignment, making ISBN same as the LC card number or vice versa, and assignment of ISBN

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<sup>1</sup> For the seven vendors providing both acquisitions and cataloging services, the following general patterns of ISBN use were found:

- 2 vendors encourage inclusion of ISBN on orders, and include ISBN in cataloging data if readily available, and include ISBN in cataloging records sent to customers whenever it is available
- 1 vendor encourages inclusion of ISBN on orders, and includes ISBN in cataloging data if readily available, and never includes ISBN in cataloging records sent to customers
- 1 vendor reports ISBN on orders is of no concern, and includes ISBN in cataloging data if at all possible, and never includes ISBN in cataloging records sent to customers
- 1 vendor reports ISBN on orders is of no concern, and includes ISBN in cataloging data if readily available, and includes ISBN in cataloging records sent to customers whenever it is available
- 2 vendors report ISBN on orders is of no concern, and seldom or never include ISBN in cataloging data, and never include ISBN in cataloging records sent to customers

to all books, past and present (Appendix VI, Table BB2).

None of the respondents use ISBN in ways other than those already discussed for acquisitions and cataloging (Appendix VI, Table CC).

Four respondents suggested library, regional, national or network uses of ISBN (Appendix VI, Tables EE, EE2); these suggestions emphasize use of ISBN in acquisitions.

### Conclusions

In their attitudes toward ISBN, the survey responses received from vendors of technical processing services tend to be similar to the responses received from libraries. Some vendors feel that ISBN is not useful or necessary for order fulfillment or for cataloging. Others, particularly those with machine systems, find ISBN to be useful, most often when used with other bibliographic information. In general, there appears to be a recognition among vendors that both libraries and vendors may benefit in a limited way through greater use of ISBN, but vendors responding to the questionnaire did not identify ISBN use by libraries as being of pressing concern.



## CHAPTER IV

## CONCLUSIONS AND RECOMMENDATIONS

When the International Standard Book Number system was adopted in 1972 following a decade of discussion and analysis, it was assumed that ISBN would be used by libraries. This study has attempted to assess the degree to which ISBN is in fact used in libraries, the problems associated with its use, and its potential for future uses. Literature review and analysis were made, and three sample surveys were conducted: of libraries, of vendor technical processing services, and of large urban school systems. While the data gathered in the sample surveys do not permit statistically valid conclusions to be drawn (too few responses were received), the three surveys together with the literature review and the results reported in the AAP/RTSD Joint Study support the following conclusions.

- A majority of libraries do not use ISBN in acquisitions.
  - Many libraries do not consider ISBN to be necessary or useful information on order forms.
  - For some libraries, ISBN is of no concern.
  - Some libraries have experienced difficulties or confusion in using ISBN.
  - Large urban school systems have generally not established system-wide policies for use of ISBN in acquisitions.
  - Publishers and wholesalers have not, with few exceptions, conveyed to libraries the need to include ISBN on orders.
- Library use of ISBN in cataloging is largely passive. Libraries will generally accept cataloging records that contain ISBN, but do not include ISBN in their original cataloging or add ISBN to source records that do not contain it.
  - Many libraries do not consider ISBN to be useful or necessary information in cataloging records.

- For some libraries, ISBN is of no concern.
- Several major vendors supply libraries with cataloging records that do not include ISBN.
- ° Few factors can be identified that distinguish ISBN users from non-users. ISBN use by a library appears largely to be arbitrary.
  - Access to records by ISBN, adherence to cataloging conventions (JACR), system requirements (OCLC), the usefulness of ISBN in distinguishing similar editions, and "faith" in ISBN's potential appear to be the principal factors motivating ISBN use in libraries.
  - ISBN users tend to be either academic libraries (primarily large ARL) or OCLC users, but not all libraries in either group use ISBN.
  - Size of library is not related to ISBN use. Within each type of library (ARL, college/university, public, etc.) no relationship can be found between the size of the library and its use of ISBN.
- ° Outside of acquisitions and cataloging, library use of ISBN is infrequent.
  - Some libraries, almost exclusively OCLC users, occasionally use ISBN for bibliographic verification.
  - A few large ARL libraries have developed computer programs that utilize ISBN for various purposes.
- ° Although libraries can list some potential regional and national uses of ISBN, with the current low ISBN use it is unlikely that these potential uses will be realized.
  - Many potential uses, such as interlibrary loan, rely upon libraries maintaining ISBN in records and access to records by ISBN. At present most libraries do not have ISBN access, either through machine systems or through printed indexes.
  - Because a majority of libraries are not yet convinced that ISBN is useful in acquisitions, it is doubtful that they will be convinced of the usefulness of ISBN for other activities.

That ISBN is not utilized as a control number for bibliographic records, interlibrary loan, or circulation is not surprising. ISBN was not developed specifically for these purposes and it has certain inherent limitations; for these uses other control numbers developed by the library community have proven adequate. What is disconcerting is that a system designed to facilitate the ordering process is not being utilized by a majority of libraries for acquisitions.

The data collected in this study illustrate that libraries are confused, misinformed, and indifferent to ISBN. The degree to which the current situation can be rectified remains unclear, but as a beginning, the following recommendations are offered.

- The actual advantages of library use of ISBN, rather than the "potential" advantages, need to be identified specifically and publicized to the library community. Simply stated, "What does a library gain by using ISBN?" and what is the evidence to support the claims?
  - The promotional literature currently available to libraries promises greater advantages than ISBN currently provides. A case can be made for ISBN use in acquisition, but it must be supported by fact rather than opinion.
  - Detailed data must be gathered and publicized to libraries (in library literature) showing concretely the advantages (and disadvantages) that accrue from ISBN use.
- Library use of ISBN will increase only when other segments of the bibliographic community (e.g., publishers and vendors) are committed to ISBN use and use ISBN consistently and accurately.
  - A complete, international users' guide needs to be prepared for the entire bibliographic community (publishers, wholesalers, book stores, libraries, etc.).
  - Publishers must assign the ISBN consistently and accurately in the books they publish, and follow established standards.

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- The full ten-character ISBN should be included in all brochures, catalogs, publications lists, etc. produced by publishers. Each ISBN should be preceded by the identification, "ISBN."
  - Vendors (publishers and wholesalers) should make a more concerted effort to encourage their customers to use ISBN.
  - Trade catalogs and "books-in-print" should include ISBN indexes.

These recommendations rest on the assumption that the use of ISBN is somehow "good." Various promises have been made concerning the benefits that the use of ISBN will bring to the bibliographic community. Many librarians, however, are skeptical about the advantages of ISBN. Until such time as it can be demonstrated concretely that improved service will result from ISBN use by libraries, library use of ISBN will remain largely "potential."